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CONSOLIDATION AND ENHANCED LIVELIHOOD INITIATIVE CENTRAL REGION (CELI-CENTRAL) GRANTS MANAGEMENT PLAN (GMP)

May 2011

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Prepared by:

Tetra Tech ARD
P.O. Box 1397
Burlington, Vermont 05402
USA

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ACRONYMS

AAPD	Acquisition and Assistance Policy Directive ¹
ADS	Automated Directives System
AEC	Application Evaluation Checklist
AEF	Application Evaluation Form
AGGMG	ARD Global Grants Management Guide
AMN	Award Modification Notice
APS	Annual Program Statement
ATC	Anti-Terrorism Certificate
BMP	Branding and Marking Plan
CBO	Community-Based Organization
CELI-Central	Consolidation and Enhanced Livelihood Initiative Central Region
CO	Contracting Officer
COP	Chief of Party
COTR	Contracting Officer's Technical Representative
CSR	Cost Share Reporting Form
DC&G	Director of Contracts and Grants
EPLS	Excluded Parties List System (List of Parties Excluded from Federal Procurement and Non-Procurement Programs)
ERF	Environmental Review Form
FAR	Federal Acquisition Regulations
FOG	Fixed Obligation Grant
FTR	Federal Tax Reporting Form
GA	Grants Application
GBAR	Grantee Bank Account Reconciliation
GMP	Grants Management Plan

¹ AAPDs provide information of significance to contracting personnel including (but not limited to) advance notification of changes in acquisition or assistance regulations, reminders, procedures, and general information.

GOC	Government of Colombia
GUC	Grants under Contract
HO	Home Office
IKG	In-Kind Grants
MSP	Mandatory Standard Provisions
NGO	Nongovernmental Organization
NM	Negotiation Memorandum
OFAC	Office of Foreign Assets Control
OMB	USAID Office of Management and Budget
PARD	Pre-Award Responsibility Determination
PIO	Public International Organization
PVO	Private Voluntary Organization
RAASP	Required As Applicable Standard Provisions
REC	Review and Evaluation Committee
RFA	Request for Applications
SDNBP	Specifically Designated Nationals and Blocked Persons
SG	Standard Grant
SGM	Senior Grants Manager
SiG	Simplified Grant
SPAS	Simplified Pre-Award Survey
TO	Technical Officer
TOCOTR	Task Order Contracting Officer's Technical Representative
US	United States
USG	United States Government
USAID	United States Agency for International Development

INTRODUCTION

Consolidation and Enhanced Livelihood Initiative Central Region (CELI-Central) is being implemented through a five-year, \$114,953,981 contract between the United States Agency for International Development (USAID) and Tetra Tech ARD of Burlington, Vermont USA. This Grants Management Plan (GMP) provides the narrative framework for managing Grants under Contract (GUC) under USAID Contract No. 514-C-11-00002. The GMP is intended to provide CELI-Central with consolidated resources for grants administration in accordance with USAID's policies, regulations, and the terms and conditions of the aforementioned prime contract.

The GMP is intended to be used along with the Annexes that provide forms, applications, and procedural documentation required for an efficient and accountable grants management program. Some of the annexes provided may be updated or modified to best suit the diverse needs of the operating environment in Colombia. In addition, Tetra Tech ARD maintains an ARD Global Grants Management Guide (AGGMG) which is an internal grants management handbook designed to serve as a guideline for CELI-Central staff and, as appropriate, for the Grantees. The CELI-Central Project may further tailor the GMP and the Annexes to ensure flexibility to programmatic needs while maintaining full compliance with USAID and Tetra Tech ARD's rules and regulations.

GRANTS PROGRAM OBJECTIVES

The objective of the CELI-Central project is to advance U.S. Government (USG) goals and results related to the implementation of the Colombia Strategic Development Initiative (CSDI) and the Government of Colombia's (GOC's) National Consolidation Plan (PNC).

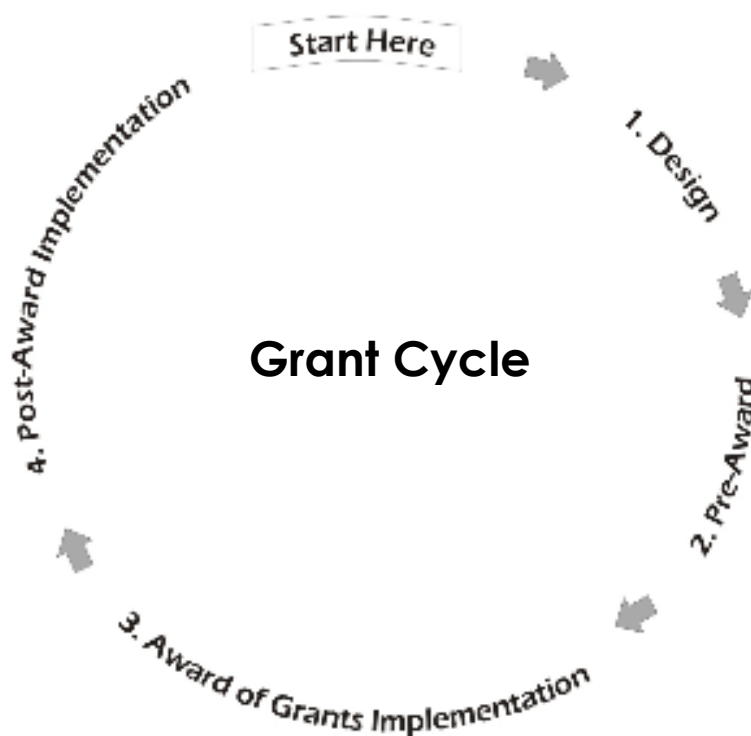
The basic premise of the CELI-Central contract is that armed conflict and the illicit economy are inextricably linked to weak state presence. Therefore, contract activities will seek to strengthen state presence as the GOC recovers territory and creates a minimum level of permanent territorial security. In areas where the state has only recently re-established security, the contract will emphasize immediate, short-term interventions to meet urgent economic and social needs in order to demonstrate GOC presence and to help the target areas recover more quickly from the effects of conflict and eradication.

Under CELI-Central, Tetra Tech ARD will administer a grants program that supports project objectives and leverages funding from other non-United States Government (USG) resources. In accordance with the contract, CELI-Central may award grants to Foreign Governmental Organizations. For U.S. non-governmental organizations (NGOs), the grant limit is not to exceed US\$100,000, unless an exception is provided in writing by the Contracting Officer. This limit does not apply to grant awards to Non-U.S. organizations.

Tetra Tech ARD adheres to USAID's competition regulations, where applicable, in the award of grants in order to ensure transparency and identify and fund the best possible projects to achieve program objectives. As a guiding principle, Tetra Tech ARD will seek to issue all grants to non-U.S. NGOs that present innovative proposals which support and stimulate actions that will contribute to the achievement of the aforementioned objectives. Grants not awarded on a competitive basis will be justified as authorized in the Automated Directives System (ADS) 303.3.6.5.

GRANTS MANAGEMENT PLAN ORGANIZATION

Tetra Tech ARD maintains a flexible and creative approach through a GMP that responds to the needs and conditions at the local site of operation. At the same time, field operations must adhere to Tetra Tech ARD's systematic grant-making process. Therefore, the GMP follows the four-phase grants cycle: 1) Design, 2) Pre-Award, 3) Award of Grants, and 4) Post-Award Implementation. Within the grant cycle, there are four phases; each phase consists of different activities that need to be accomplished in order to advance to the next phase. These activities are further described later in this plan.



Additionally, a set of annexes incorporate specific processes and forms related to the GMP. The GMP is intended to be used along with these annexes since these provide the necessary forms, applications, and procedural documentations required for efficient and accountable grants management. (These annexes may be updated or modified to best suit the diverse needs of the operating environment in Colombia.) In addition, Tetra Tech ARD maintains an AGGMG, which is an internal grants management handbook designed to serve as a guideline to design project-specific grants programs.

In addition, Tetra Tech ARD's code of conduct stipulates that:

- Tetra Tech ARD does not condone any action that could be considered to promote or give the appearance of conflict of interest or corruption. No ongoing or potential business is worth tolerating, condoning, or participating in any act considered unlawful in appearance or in fact.
- Tetra Tech ARD's employees must follow the company business ethics policies to ensure that no damage is done to the well-earned integrity, reputation, and business of the project, company, or its personnel. Tetra Tech ARD's employees who knowingly participate in an unethical business act may face disciplinary measures from Tetra Tech ARD, including possible termination of employment. When an employee discovers such a potentially unlawful activity, the employee must report it to the CELI-Central Chief of Party.
- Given the foregoing, Tetra Tech ARD, its employees, subcontractors, Grantees (and, if applicable, lower tier Grantees) shall maintain the highest standards of ethical conduct governing the selection, award, implementation, and oversight of this Grants Program. Such ethical standards of conduct derive from, but are not limited to, Federal and USAID laws and regulation, and Tetra Tech ARD's corporate policies and procedures.
- If any officer, employee, or agent of the CELI-Central Program, Grantee, or sub-Grantee becomes aware of any allegations of unethical conduct and prohibited acts described below, the individual is obligated to immediately inform the CELI-Central Program Chief of Party of such alleged conduct, orally or in writing.
- The Chief of Party is authorized by Tetra Tech ARD to investigate any such allegations and take appropriate action (including disciplinary action, including termination of employment or of the grant) to remedy, correct, mitigate, or otherwise resolve the unethical conduct or prohibited acts.
- Any individual, Grantee, or subcontractor found guilty of such prohibited actions shall be subject to termination of employment, grant or contract, and may be subject to criminal prosecution under the U.S. Criminal Bribery and Illegal Gratuities statute and the Foreign Corrupt Practices Act.
- Ethical standards of conduct applicable to Grants, Grantees, and their officers, employees, consultants, sub-Grantees, and agents are described below.
 - ***Organizational or Personal Conflict of Interest.*** No employee, officer, or agent of the CELI-Central Program, the Grantee, or sub-Grantee shall participate in the selection, award, or administration of a grant or sub-grant supported by USAID funds if a real or apparent conflict of interest would be involved. Such a conflict may arise when the employee, officer, or agent, any member of his or her immediate family, or partner, or an organization that employs or is about to employ any of the parties indicated herein, has a real or perceived financial or other interest in the organization selected for award.
 - ***Anti-Kickback and Bribery.*** The officers, employees, and agents of the CELI-Central Program, the Grantee, or sub-Grantee shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, Grantees, sub-Grantees, or third parties.

1.0 PUBLIC NOTICE/ IDENTIFY POTENTIAL GRANTEES

Tetra Tech ARD eligibility requirements for grant applicants are based on the specific contractual guidelines and United States Agency for International Development (USAID) regulations. Approval from USAID is required before issuing any Grants under Contract (GUC). CELI-Central will ensure that each prospective Grantee does not appear on either (1) the List of Parties Excluded from Federal Procurement and Non-procurement Programs¹ or (2) the List of Individuals or Entities that Commit or Pose a Significant Risk of Committing Terrorist Acts² (Specifically Designated Nationals and Blocked Persons [SDNBP]).

1.1 ELIGIBLE APPLICANTS

CELI-Central may issue grants to U.S. and non-U.S. NGOs, provided that they are legally registered and recognized under the laws of Colombia. Grantees may include:

- National, regional, and local producers' organizations;
- Non-U.S. NGOs;
- U.S NGOs;
- Foundations and Universities;
- Private enterprises or firms (Profit is not allowed under CELI-Central grants);
- Farmer's Associations, Indigenous Groups and Cooperatives; and
- Legally organized associations of the above organizations.
- Foreign Governmental Institutions.

As stated in the prime contract, Tetra Tech ARD "shall make every attempt to award and administer grants to Colombia non-governmental organizations that support the achievement of contract objectives and outcomes."

In addition, the Grantees must demonstrate that they:

¹ This list can be located at <http://epls.arnet.gov>. At this web address, in the upper left-hand corner, there is an option to search by State/Country.

² This list can be located at <http://www.treas.gov/offices/enforcement/ofac/sdn/t11sdn.pdf>.

- Possess sound managerial, technical, and institutional capacities to achieve project results;
- Possess and apply a system of internal controls in order to safeguard assets and to protect against fraud, waste, and conflicts of interest;
- Are in good standing with all civil and fiscal authorities;
- Possess financial accountability and maintain detailed records of all expenses; and
- Are willing to sign applicable assurance certifications, which certify that:
 - They will execute the grant in a manner compliant with OMB Circulars, and Federal and USAID regulations in accordance with the Certificate of Recipient Compliance.
 - They have not and will not provide support to any individual and organizations associated with terrorism, in accordance with the terms of the Certificate Regarding Terrorist Financing.
 - They have not and will not provide support to Drug Traffickers, in accordance with the Certification Regarding Prohibition on Assistance to Drug Traffickers.
 - They have not or will not use grant funding to lobby a U.S. Government official according to the terms of the Certification Regarding Lobbying (for grants exceeding \$100,000).

1.2 INELIGIBLE APPLICANTS

The following organizations are **not** eligible for CELI-Central grant funding:

- Any entity which is a Private Voluntary Organization (PVO) that has not registered as such with USAID;
- Political parties and their subsidiaries or affiliates;
- Organizations that appear on the List of Parties Excluded from Federal Procurement and Non-procurement Programs or U.N. 1267 list;
- Organizations that promote or engage in illegal activities or anti-democratic activities;
- Faith-based organizations that are not in compliance with Automated Directives System (ADS) 303.3.6.4.m, which is in accordance with Executive Order 13279, Equal Protection for the Laws of Faith-based Community Organizations;
- Any entity affiliated with Tetra Tech ARD, its officers, directors, or employees; and
- Any Public International Organization (PIO).

1.3 ELIGIBLE ACTIVITIES

CELI-Central will work with USAID and the GOC to use the grants program to fund and operationalize activities that achieve the required results to strengthen consolidation of state presence in the Central Region and also respond proactively to opportunities as the GOC's consolidation efforts progress and permanent territorial security is recovered.

Examples of the potential grant activities include:

- Rapid response in-kind grants for food security and social infrastructure.
- Coordination with social and community organizations to foster change (special attention to internally displaced persons [IDPs] and other “invisible” populations).
- Technical assistance to producers and to producers' associations.
- Rendering technical assistance and subsidies to producers.
- Encouraging public-private partnerships for productive activities.

- Support for citizens oversight functions to strengthen local government transparency.
- Support for improved municipal territorial planning.
- Improving health and education services.
- Support for rural roads.
- Outreach communication programs with local communities.
- Enhancing alternative dispute resolution.
- Providing incentives for land titling.
- Continuing eradication of remaining illicit crops.
- Institutionalizing mechanisms for citizen security.
- Working with youth through social infrastructure, sport, education, culture, and income generation activities.
- Technical assistance and training in implementation of Constitutional Court writs.
- Working with national and local authorities and other programs (including USAID programs) to develop a resettlement plan.
- Enhancing Afro-Colombian and indigenous population capacity to manage development in their territories.

1.4 INELIGIBLE ACTIVITIES

Grant funds will **not** be used for:

- Activities that support industrial-scale logging or other industrial-scale resource extraction or sector reform that would promote these activities.
- Activities that directly support timber harvesting, and/or the conversion of tropical forest.
- The purchase of pesticides in the absence of a waiver.
- Activities which duplicate the activities of other U.S. Government-supported program or programs conducted by other organizations in Colombia. (In the event that an application reveals such duplication, the applicant will be advised appropriately of other U.S. programs or other potential funding sources for such activities.)
- Activities that is inconsistent with international standards of human rights or with democratic goals of racial and ethnic tolerance and harmony.
- Ceremonies, parties, celebrations, or “representation” expenses except for those that are specified in the grant (for example, opening ceremonies) to promote the visibility of USAID in the eyes of the communities USAID is trying to serve.
- Activities not approved by USAID.

1.5 TARGET AREAS

CELI-Central will work with the department of Chocó, Valle de Cauca, Quindio, Risaralda, Caldas, Cundinamarca, Tolima, Meta, Caquetá, Huila, and Cauca. This may change as requested by USAID/Regional Coordination Committee (RCC).

1.6 PUBLIC NOTICE

CELI-Central will encourage competition in the award of grants to the maximum extent practicable in order to identify and fund grant projects that support CELI-Central’s objectives. Public notice is intended to make the community-at-large aware of the available grant funding. The notice should:

- Present the objectives of the grant funds;
- Explain how potential applicants can access the grant funds;
- Describe any and all pre-requisites; and
- Inform potential applicants of the procedures that will be followed in competing for the grant funds.

The CELI-Central Project will use the following means to determine the most effective public notice/announcement:

- Advertising in local newspapers or on the internet in English;
- Disseminating the notice to NGOs and Community-Based Organizations (CBOs);
- Disseminating to radio stations or other media outlets;
- Disseminate during CELI-Central-sponsored meetings; and
- Disseminating the notice to the appropriate government stakeholders.

1.7 ANNUAL PROGRAM STATEMENT (APS) OR A REQUEST FOR APPLICATIONS (RFA)

The first step in the competitive process is the issuance of a public notice in the form of an APS or RFA following ADS 303.3.5.4 and 303.3.5.2. APSs will be published once a year, either with an open-ended response or a closing date of at least six months after issuance. RFAs will be published at least 30 days prior to receipt of proposals. In either instance, CELI-Central may opt to use a tiered competition process depending on the anticipated number of applications to be received. The tiered competition process will be conducted in accordance with ADS 303.6.2(d) and will use a concept paper for tier one and then a full application for tier two. When competition will not be tiered, applicants will be required to submit a complete application as outlined in Section 1.9.

TABLE 1.1: MINIMUM CONTENTS FOR AN RFA AND AN APS

The RFA will contain:	The APS will contain:
<ul style="list-style-type: none"> • A statement that the program is authorized under the Foreign Assistance Act; • General description of the objectives of the proposed grant activities; • Eligibility requirements; • Evaluation criteria and detail on their importance; • Estimated funds available and number and type of awards if available; • Expected duration of support; • Suggested cost share, as applicable; • Mandatory references concerning grant administration; • Project point of contact information; • A statement that CELI-Central reserves the right to fund any or none of the applications submitted; • Deadline for submission; • Sample grant application form; and • Required certifications. 	<ul style="list-style-type: none"> • A statement that the program is authorized under the Foreign Assistance Act; • Objectives of the proposed grant activities; • Eligibility requirements; • Evaluation criteria and detail on their importance; • Estimated funds available and number of awards if available; • Suggested cost share, as applicable; • Mandatory references concerning grant administration; • Project point of contact information; • A statement that CELI-Central reserves the right to fund any or none of the application submitted; • Closing date; • Sample grant application form; and • Required certifications.

STAFFING ASSIGNMENTS

The CELI-Central Director of Contracts & Grants (DC&G), in close consultation with his/ her technical staff, is responsible for coordinating the development of the project's public notice. The DC&G will provide administrative and financial portions of the public notice and the Technical Officer (TO) will provide the technical portion, including the terms of reference for the public notice. Once the public notice has been assembled by using the checklist of public notice requirements in the annex, the DC&G will submit the draft to Tetra Tech ARD's Senior Grants Manager (SGM) for compliance review and refinement as necessary. The Chief of Party (COP) and COTR will approve the final version before it is published.

1.8 CONCEPT PAPER

When using an APS, CELI-Central will require the submission of a concept paper for initial consideration. The inclusion of the concept paper procedure will allow CELI-Central to review and screen concepts efficiently from a large number of applicants and minimize the financial burden for both CELI-Central and the applicants. CELI-Central will develop a concept paper form, which will not exceed five pages (including budget and attachments) and will adhere to the following format:

1. Cover Page/Introduction:
 - a. Name and address of organization;
 - b. Type of organization (e.g., non-profit, commercial, university, etc.);
 - c. Contact point (phone and e-mail);
 - d. Names of other organizations (federal and non-federal as well as any other USAID offices) to whom the applicant will/has submitted the application and/or is funding the proposed activity; and
 - e. Signature of authorized representative of the applicant, authorized to obligate contractually the applicant.
2. Technical Information:
 - a. Concise title and objective of proposed activity;
 - b. Discussion of the problem, objectives, method of approach, amount of effort to be employed, anticipated results, and how the work will help accomplish CELI-Central's mission as elaborated in the RFA or APS;
 - c. Type of support the applicant requests from CELI-Central (e.g., funds, facilities, equipment, materials, and/or personnel resources); and
 - d. Gender considerations.
3. Organizational Capacity:
 - a. Past performance on similar projects;
 - b. Relevance of staff skills to the proposed program;
 - c. Ability to cost share;

- d. Experience in geographic region;
 - e. Soundness of accounting and procurement practices; and
 - f. Capacity to adhere to USAID financial guidelines.
4. Supporting Information:
- a. Proposed duration of activity;
 - b. Certificate of Legal Status; and
 - c. Certification that the concept paper is current, complete, and represents the Grantee's honest assessment of what is required to achieve project objectives.

1.9 CONCEPT PAPER EVALUATION

The concept paper review serves as a filter for concepts that are fundamentally flawed with little chance of making significant contributions to the overall project goals. This process is designed to prevent the Review and Evaluation Committee (REC) from spending time rating proposals that do not meet the minimum public notice standards.

The reviewers will indicate on the Evaluation Checklist whether to “Decline to Fund” or to “Proceed in Cycle.” The reviewers will state the reasons for determining why a concept paper or proposal should not be part of the REC’s review. All decisions will be made in writing and kept on file. The reviewers will ask the following questions:

- Does the concept address the goals of the project?
- Is the proposed activity reasonable in its scope, approach, and/or expected results?
- Does the organization present proof of a minimum level of organization capability, especially as it relates to finances and their ability to cost share?
- Are the items in the project budget reasonable, allowable, and allocable?
- Is the applicant barred from receiving grants from either the U.S. or the host country government?

A concept paper will be marked “Decline to Fund” if the concept is:

- Incomplete;
- Submitted after the posted closing date;
- Non-compliant with technical objectives/thematic areas of the project;
- Non-compliant with priority geographic coverage of the project;
- Given a score of less than 70 on the concept review; and/or
- From an organization that appears on the Excluded Parties List System (EPLS), U.N. 1267, or the Office of Foreign Assets Control (OFAC) SDNBP List.

Subsequent to the evaluation of the concept papers, those concepts that receive a positive evaluation will be required to submit a completed Grant Application (GA), which is outlined in Section 1.9. The organizations whose concept papers receive a negative review will be informed in writing within 30 days after the review.

1.10 HOLD “NEXT STEPS CLINICS”

Preceding the issuance of the APS, CELI-Central may decide to conduct a “Next Steps Clinic.”

The objectives of the clinic would be to:

1. Compress the processes of orienting potential Grantees;
2. Identify and prioritize geographic areas and project objectives;
3. Solicit and distribute applications; and
4. Begin the process of providing assistance to less capable applicants.

In considering whether to conduct Next Steps Clinics, CELI-Central will consider if such clinics will significantly accelerate grant-making and more comprehensively engage vulnerable groups rather than relying solely on conventional methods of public notices and awaiting applications, or if these clinics will result in higher-quality applications which in turn will impact the efficiency of the review and evaluation process.

Another reason to consider holding Next Steps Clinics would be to serve as a capacity-building exercise for potential Grantees. The clinics might assist those organizations that may be technically qualified but do not possess the grant writing or USAID experience necessary to produce sound proposals. The clinics might also serve to transmit to the applicants the commitment and level of effort required under USAID-funded projects.

The objective of the clinics would be to help potential applicants have a better understanding of what will be required of them between the date of the Clinic and the anticipated date of signing a grant agreement. Following are some of the topics/events that are covered during the Clinic:

- Discuss any additional assistance to move forward to the full application phase;
- Discuss pre-award requirements;
- Discuss grant formats;
- Discuss regulatory and statutory certification requirements;
- Review cost sharing and cost analysis;
- Review reporting requirements; and
- Environmental requirements.

STAFFING ASSIGNMENTS

The concept paper review (Annex A) is carried out by the DC&G and the technical staff, with USAID participation if requested. The DC&G’s main responsibilities include the applicants’ eligibility and the applicability and cost effectiveness of the budget. The technical staff will assess the concepts for a strategic fit with the overall CELI-Central goals and objectives and assess the applicant’s past performance. Administrative and technical evaluation of concept papers will be conducted independently and the DC&G will compile a summary sheet that combines both evaluations. The DC&G will submit the results of the concept paper review to the COP, or his designee, who will authorize written notification of the outcome to the applicant.

1.11 GRANT APPLICATION PROCEDURE

Applicants will be requested to submit one original hard copy of their full proposal and budget in English or Spanish and include, when possible, an electronic copy in Word and Excel format. All applications will be received in sealed envelope and CELI-Central will stamp and provide a receipt. Application guidelines can be found in Annex B. Applicants must address how grant funds will be used to support a process of constructive engagement and planning among government, communities, indigenous NGOs, local institutions, private sector organizations, and other relevant organizations to work collaboratively in implementing activities under the CELI-Central scope of work. Applications will be evaluated on the basis of the strategic fit, technical approach, organizational capabilities, gender consideration, and cost effectiveness, including the ability to cost share.

The length and detail required of the full proposal shall depend on the nature of the activity proposed and responding organizations. For all applications there will be a limit of 20 single-spaced typed pages, not including the budget or attachments. Guidance on what level of detail will be considered acceptable for a particular size and type of proposal will be included in the RFA and APS.

There are no page limitations for the budgets, but applicants will be encouraged to be concise. Budgets should be fully supported by adequate cost data to establish the reasonableness of proposed program costs. At a minimum, budgets shall contain the following: a) a summary budget page of total costs, b) a detailed budget of cost inputs, and c) detailed budget notes and supporting justification of all proposed budget line items. A budget template is provided in the Grant Application.

At the time of submission, the applicant's agent must certify the application as being current, complete, and accurate.

1.12 COST SHARING

In keeping with USAID's policy (ADS 303.3.10, Acquisition and Assistance Policy Directive [AAPD] 02-10), cost sharing is an important element of USAID-funded projects. CELI-Central encourages a contribution from partners toward the total cost of the activity to support or contribute to the achievement of results. Among other things, cost sharing enables CELI-Central to mobilize additional resources for a program where funding is limited. It also demonstrates the Grantee's commitment to the project. In order to enhance the success of the grants component, and to demonstrate commitment, applicants will be encouraged to propose cost sharing. Cost sharing includes contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records. Cost-sharing contributions may include volunteer services provided by professional and technical personnel, and unrecovered indirect costs. Grantees must account and report on cost-share funding just as they would with the Tetra Tech ARD-funded portion of the project.

STAFFING ASSIGNMENT

Tetra Tech ARD may offer assistance as necessary to assist the Grantees with limited capabilities to develop a full application. Often the Grantees require additional assistance in developing a detailed budget and implementation plans.

2.0 EVALUATION AND SELECTION OF APPLICATIONS

Once the public notice, concept paper evaluation, and work with applicants to submit the final grant application process (if necessary) has been completed, CELI-Central will perform the evaluation and selection of applications. The final applications will be forwarded to the Review and Evaluation Committee (REC) and each application will go through a formal written evaluation utilizing the Application Evaluation Form (AEF, see Annex C).

CELI-Central follows a standard procedure for receiving and evaluating grant applications to ensure integrity of the competitive process and transparency. CELI-Central receives all applications in sealed envelopes and stamps them as “received” and issues a receipt (written or e-mail) to the submitting organization. After the closing date for the RFA, CELI-Central staff opens the application envelopes in the presence of at least two committee members. CELI-Central logs each application to ensure that requested information is complete, and begins the application review process.

2.1 APPLICATION EVALUATION

Applications will be reviewed by the REC, which is composed of Tetra Tech ARD’s Contracts and Grants Manager (DC&G), a non-voting member, and at least three people from among the individuals listed below:

- CELI-Central Chief of Party (COP);
- CELI-Central technical team members—those not involved directly in the application development;
- CELI-Central Procurement/or Financial Manager;
- USAID Contracting Officer’s Technical Representative (COTR) or his/her designee if requested;
- Representative from RCC; and
- External technical committee members comprised of experts; this may vary from site to site and depending upon the project (e.g., from respected individuals, organizations that are not competing).

The team of evaluators will convene to evaluate the applications against the pre-established, transparent, and objective list of criteria as per the AEF. The length of this step will be specified in the public notice, but, in all cases, it should be kept to the necessary minimum. The DC&G will establish a timeline for the evaluation stage, which will be shared with all evaluators. CELI-Central, in close coordination with the COTR, will decide on how many grants per site will be funded.

Tetra Tech ARD's Grants Management Methodology ensures transparency, safeguards against corruption, and actively seeks to eliminate conflicts of interest by:

- Competing award opportunities utilizing a public notice.
- Maintaining non-voting status for grants management staff that are members of the Awards Committee.
- Evaluating applications against pre-established selection criteria.
- Segregating duties between application developers and evaluators.
- Requiring all staff, Grantees, and members of the REC to certify, in writing, that no real or apparent conflict of interest exists.

At the onset of the final review, all of the evaluators will convene and the DC&G will provide them with a statistical overview regarding the number of applications, incomplete submissions, late submissions, submissions by geographic area, submissions by organizational type, and submissions by thematic area. The DC&G will then discuss the review and evaluation process including the Application Evaluation Checklist (AEC, see Annex C) and application files will be distributed to respective members for their objective evaluation.

The REC will formally evaluate and rank all proposals independently and uniformly in writing, using the AEC.

Rankings will be based on the criteria and points, based on 100 as the maximum points allowed, listed below (the application ranking points are different than the concept paper ranking due to the fact that the cost is not counted in the concept stage):

1. Strategic fit: **25 points**
 - a. Contribution toward CELI-Central success indicators (required tasks and activities, per contract);
 - b. Sustainability of project results; and
 - c. Anticipated benefits to the beneficiaries.
2. Technical approach: **35 points**
 - a. Clearly defined problem statement;
 - b. Clearly outlined goals;
 - c. Innovative technical approach; and
 - d. Potential obstacles identified and solutions provided.
3. Organizational capabilities: **20 points**
 - a. Past performance on similar projects;
 - b. Relevance of staff skills to the proposed program;
 - c. Experience in geographic region;
 - d. Soundness of accounting and procurement practices; and
 - e. Capacity to adhere to USAID financial guidelines.

4. Gender consideration: **10 points**

- a. Focus on women's issues;
- b. Impact on women's participation

5. Cost effectiveness, including cost share: **10 points**

Costs will be evaluated in terms of their feasibility, cost realism, reasonableness, completeness, allocability, and cost-effectiveness for undertaking activities outlined in the planning matrix. As technical scores converge, proposals that maximize direct activity costs, including cost sharing and leveraging, and that minimize administrative costs will be more favorably considered. The cost selection criteria below will allow CELI-Central to evaluate the applicants cost application:

- Is the proposed budget reasonable and cost-effective?
- Does the proposal minimize headquarters' costs for managing the project in order to maximize the funds available for field-based activities?
- Does the proposal have a high percentage of cost-share funds? Are there other leveraged funds or submitted funding proposals that could complement program activities?
- Applicant's representation of the cost share constitutes an eligibility factor and will not be separately evaluated.

CELI-Central will send a representative to conduct a site visit to confirm or add to the information in the grant application, as needed. Proceedings from these meetings must be written and maintained in the grants file for inclusion into the Negotiation Memorandum (NM).

CELI-Central recognizes the importance of a fair, objective, and transparent review and evaluation process. To this end, CELI-Central will take measures to ensure that each evaluator fully understands his/her responsibilities, that each member has a consistent understanding of the evaluation criteria through use of the AEC, and that no conflicts of interest exist. Once evaluators understand the process, including a thorough review of the AEC, the DC&G will assign applications to each member to review and evaluate objectively. Each application will be reviewed by at least three evaluators. As applications are evaluated, the AEC will be completed and submitted to the DC&G to ensure that the results of each evaluator remain confidential until the evaluation phase is complete. All applications must be returned to the DC&G on or before the established deadline. (The DC&G will impose a timely deadline for the review process.)

Additionally, the COP and the DC&G will take steps to ensure that each evaluator does not have any conflicts of interest with regard to the applications they will be reviewing. The evaluation checklist requires the signature of each evaluator. The following certification language is included above the signature line in both the concept paper and application evaluation checklist forms:

By affixing my signature below, I hereby certify that I have no real or apparent conflict of interest concerning this application, the applicant, or any other consultant or businesses that may be involved in the referenced project.

The review and evaluation process is designed to be transparent, objective, and measurable. Once the DC&G receives the completed evaluation forms, he/she will average the scores. Applications will be ranked by average score and based on the estimated available funding; a corresponding amount of applications will be labeled "Proceed in Cycle."

2.2 NOTIFICATION OF APPLICANTS

Upon the completion of the application evaluation, CELI-Central will notify the applicants either as moving along in the process (tagged “Proceed in Cycle”) or as rejected (tagged “Decline to Fund”). Notification of approval or disapproval of all applications will be given to all applicants in accordance with ADS 303.3.7.1. The DC&G will provide the letter to the applicants.

In cases where the application has been tagged “Decline to Fund,” the applicant will be informed in writing by the CELI-Central DC&G. To the extent practicable, the applicant will be provided a brief explanation as to why the application was rejected.

Otherwise, if the applicant has been tagged “Proceed in Cycle,” notification will be provided in writing.

2.3 UNSOLICITED CONCEPT PAPERS AND APPLICATIONS

There may be instances where unsolicited applications are received. Although grant awards for these unsolicited applications are not the rule, if the applicant demonstrates unique, innovative, or proprietary capacity, and represents appropriate use of USAID funds (consistent with the USAID contract), they may be considered. However, these unsolicited grant applications must receive USAID approval prior to award. The request for approval must include the justifications mentioned above for awarding an unsolicited application.

Aside from the few instances where an unsolicited application is approved, the grant program must be open to full and open competition. Public advertising for the RFA and APS ensures a full and open process. The grant applications process may be cyclical or open-ended and, in some instances, USAID also allows for pre-qualification competition. Pre-qualification competition is a two-tiered process in which an initial submission of an application is requested which only includes a summary of the proposed activity and cost proposal. For those applicants that are successfully chosen from the first round, a second round is requested for these applicants. The second round would call for the applicants to fill out the full application template.

2.4 NON-COMPETITIVE AWARDS

In certain instances, the CELI-Central team, in coordination with its implementing partners, may identify discrete projects that will contribute to the overall project objectives. These projects may result from technical studies identifying specific activities and partners, or consultations with stakeholder groups at sites. In other instances, USAID may have pre-identified Grantees that are needed in order to achieve time-sensitive tasks. In these cases, CELI-Central may decide to pursue a “sole source award” and will work with the potential Grantee to develop the project proposal in order to provide a more tailored pin-pointed project intervention. Sole source awards or other grants awarded on a non-competitive basis will be executed in accordance with ADS 303.3.6.5.

2.5 EXCEPTIONS TO COMPETITION

As stated above, there are circumstances where exceptions to competition may be warranted. In addition to unsolicited applications, the circumstances listed below are considered to be justification for exception from the competitive process:

- Amendments and follow-on (no amendments for fixed obligation grants);
- Unsolicited applications that are unique, innovative, or proprietary capacity, and represent appropriate use of USAID funds, with USAID approval;
- Exclusive or Predominant Capability;

- Small Awards—estimated total amount of \$100,000 or less and with a term of no more than one year. These awards may not be amended either to add funds beyond \$100,000 or to extend the date beyond one year from the original date of the award (as per ADS303.3.6.5, Exception to Competition Requirements clause);
- Critical objectives of the Foreign Assistance Program;
- The Director of the Office of Procurement;
- Congressionally mandated programs; and
- All non-competitive awards must be justified in writing, to the satisfaction of the Contracting Officer.

STAFFING ASSIGNMENTS

The DC&G, in close consultation with the technical staff and with guidance from Tetra Tech ARD's Home Office (HO) SGM, will facilitate the application review process. The DC&G is responsible for documenting exceptions to competition and maintaining the official grant file.

3.0 PRE-AWARD AND NEGOTIATION

CELI-Central must be fully satisfied that an applicant is capable and qualified to manage the grant. Therefore, all applicants that submit applications that are tagged “Proceed in Cycle” will be subjected to Tetra Tech ARD’s pre-award determination process. The DC&G and the Technical Officer (TO) will review the application and supporting documentation for negotiation. Key applicant personnel will participate in the pre-award and negotiation phase with Tetra Tech ARD.

Some CELI-Central grants may be In-Kind Grants (IKGs) to qualified Colombia organizations. (Annex AC provides step-by-step procedures for In-Kind Grants). The IKGs are used to provide non-cash assistance (such as supplies, equipment, and services) directly to the Grantees. CELI-Central assumes all procurement and payment responsibilities. Therefore, aside from property standards, a review of the Grantee’s financial and program management standards, procurement standards, reports, and records are not considered necessary apart from a Simplified Pre-Award Survey (SPAS), which is presented in Annex D. Questions related to inventory control, will be added.

3.1 PRE-AWARD RESPONSIBILITY DETERMINATION (PARD) AND SIMPLIFIED PRE-AWARD SURVEY (SPAS)

For Simplified Grants (SiGs), Fixed Obligation Grants (FOGs), and IKGs, CELI-Central will use the SPAS. With the recent changes to ADS 303 regulations on SiGs and FOGS, CELI-Central made provisions to allow advances under the simplified grants methods. If CELI-Central determines the use of a Standard Grant (SG) is in the best interest of the project and the Grantee is eligible, the PARD (Annex E) will be used to determine Grantee eligibility. The pre-award process serves to assess the organizational capacity to determine whether the applicant is capable and qualified to manage the grant.

The SPAS method will be used in cases where it is anticipated that a grant to a non-U.S. NGO is valued at less than USD\$500,000 and would utilize a SiG, FOG, or IKG. The SPAS consists of a simplified method of review of financial and program management, procurement standards, reporting, and recordkeeping. Annex D contains separate SPAS forms for the following types of grants:

- SiG without advance,
- SiG with advance,
- FOG without advance, and
- FOG with advance.

For organizations that do not have prior experience with federal awards, that have deficiencies as noted in their most recent audit, or when the Grants Manager cannot arrive at a responsibility determination, CELI-Central will follow ADS 303.3.9.1(b), which requires that a detailed analysis be conducted of the applicant’s system to determine adequate internal controls and if management systems are in place to receive USAID funds.

When grants to non-U.S. NGOs are valued at more than USD\$500,000 or an SG with advanced-method are anticipated, CELI-Central will rely on the PARD to make the eligibility determination. The PARD serves as a complete guide to performing pre-award responsibility determinations by conducting pre-award surveys and identifying steps to follow in a negotiation (including reviewing costs, project objectives, and reporting requirements). The PARD adheres to USAID regulations concerning the determination of each Grantee's adequacy in terms of internal controls and practices.

If an applicant submitted an excellent application but has a history of poor performance, is not financially stable, has insufficient management systems, has not conformed to the terms and conditions of a previous award, or is not otherwise responsible, the DC&G may impose additional requirements as needed, provided that the applicant is notified in writing as to:

- The nature of the additional requirements;
- The reason(s) the additional requirements are being imposed;
- The nature of the corrective action needed;
- The time allowed for completing the corrective actions; and
- The method for requesting reconsideration of the additional requirements imposed.

3.2 COST AND BUDGET ANALYSIS

The DC&G and/or the TO, along with a finance staff, will undertake budget negotiations with potential Grantees prior to an award. The purpose of the cost analysis is to assist in determining:

- The extent of the prospective applicant's understanding of the financial aspects of the project and the applicant's ability to perform the activities with the funds requested; and
- The extent to which the applicant's plans will accomplish the project objectives with reasonable economy and efficiency.

A comprehensive cost analysis consists of the following: 1) obtaining cost breakdowns; 2) verifying cost data; 3) evaluating specific elements of costs; and 4) examining data to determine the necessity, reasonableness, allocability of the costs reflected in the budget, and their allowability pursuant to applicable cost principles.

The extent of the cost analysis necessary will vary and shall be determined by the DC&G and/or TO on the basis of the amount and type of costs involved, the nature of the project, and past experience with the applicant, and/or availability of market prices.

STAFFING ASSIGNMENTS

The DC&G and/or technical staff will perform cost and price analysis of budget items and will document the outcome in the applicant's file. The DC&G or TO must certify in writing the validity, accuracy, and reasonableness of the cost and price analysis. This documentation is maintained in the official grant file.

3.3 ENVIRONMENTAL ASSESSMENT AND REVIEW

Grant funds will not be disbursed until USAID environmental guidelines have been completed and the COTR and USAID Mission Environmental Officer have approved the environmental review of the proposed project. In the event it is determined that the grant's component will have a significant impact

on the environment, the DC&G will provide guidance (Annex AA includes the Environmental Review Form) to Grantees to ensure compliance with the environmental procedures outlined in 22 CFR 216.3, the CELI-Central environmental mitigation plan, and the Initial Environmental Examination Threshold Decision. It is imperative that Grantees understand and budget for the required environmental processes that may accompany their projects as Environmental Reviews and Assessment can be costly. CELI-Central will work closely with the COTR and the Mission's Environmental Officer to ensure that the environmental assessments, reviews, and evaluations take place and are approved as required.

3.4 NEGOTIATION MEMORANDUM (NM)

Following the pre-award process, including cost and price analyses, the DC&G, in coordination and collaboration with the TO(s), will prepare a NM and keep a copy on file. The purpose of the NM is to document Tetra Tech ARD's pre-award process that describes the issues, concerns, discussions, and determinations that were all a part of the eligibility determination. For basic IKGs, CELI-Central will use the NM template found in Annex F; for all other types of agreements, CELI-Central will use the NM template found in Annex G.

STAFFING ASSIGNMENTS

The DC&G and the technical staff will share the responsibility for pre-award and negotiation activities. The DC&G will be tasked with gathering the relevant documentation, carrying out desk audits, and completing the PARD and/or SPAS. DC&G will perform a cost analysis, complete negotiation memorandums, and submit the pre-award/negotiation package to Tetra Tech ARD's SGM for review and approval of all grants over US\$100K before submitting to USAID for approval.

3.5 CERTIFICATION REGARDING TERRORIST FINANCING (ATC)

Prior to signing Grant Agreements with NGOs, CELI-Central must obtain a signed copy of the Certification Regarding Terrorist Financing (Anti-Terrorism Certificate [ATC]) found in Annex Z.

3.6 EPLS & OFAC/SDNBP LIST

Prior to signing Grant Agreements with Grantees, CELI-Central will check the EPLS website for the name of the organization receiving funds and its key personnel. CELI-Central will also check and keep on file the findings from OFAC's SDNBP List. A copy of the search report for both reports will be kept on file.

STAFFING ASSIGNMENTS

The DC&G is responsible for obtaining original signed ATCs, which must be placed in the official grants file prior to grant award. The DC&G will also conduct the EPLS and OFAC check and ensure that results are copied and filed.

4.0 GRANT AWARD PROCESS

4.1 ESTABLISHING GRANT TYPES AND FORMATS

The grant type and format are dependent upon: 1) dollar value of the grant; 2) duration of the grant activity; 3) nature of the grant activity; 4) anticipated payment method (cash advance, cash reimbursement, or an in-kind gift); and 5) classification of the Grantee (non-U.S., U.S.). The DC&G will determine the type of grant to be used taking into account the outcome of the PARD.

The following grant formats may be issued under the CELI-Central Project:

- In-Kind Grants (IKGs),
- Simplified Format Grants (SiGs),
- Fixed Obligation Grants (FOGs), and
- Standard Grants (SGs).

Templates for In-Kind Grants, Simplified Grants, Fixed Obligation Grants, and Standard Grants can be found in Annexes I, J, K, and L, respectively.

CELI-Central expects that IKG agreements may be used for some of the grants. The IKGs are used to provide in-kind (i.e., non-cash) items (such as supplies, equipment, and/or services) to Grantees. CELI-Central assumes procurement responsibility for all IKGs and therefore a review of the Grantees' financial and program management standards, property standards, procurement standards, reports, and records is not considered necessary. Rather, CELI-Central should establish that the grant activity is deemed an effective and efficient way to achieve the overall objectives of the grants program within the country of operation. The step-by-step procedure for In-Kind Grant-Making is described in Annex AC.

FOGs may be used when a grant is results-oriented and reimbursements can be tied directly to the achievement of specific and measurable milestones. Appropriate activities for FOGs include conferences, studies, surveys, workshops, policy papers, disaster or humanitarian relief and assistance, and technical development assistance when costs can be segregated by milestone, among others. FOGs are not appropriate for infrastructure or construction projects.

In addition to the factors mentioned in the paragraph above, the particular task order or contract and the requirements of the country combine to dictate the grant type and format.

TABLE 4.1: REQUIREMENTS FOR SIG VS. FOG

Cost Item	FOG	SiG
Cost Share	Optional (encouraged)	Optional (encouraged)
International Airfare	Not allowed	Allowed Must include RAASPs ^a
Indirect Costs	Allowed	Not Allowed
Purchasing Goods	Meet local financing rules Useful life < One Year Individually < \$5,000 USD	Meet local financing rules Useful life < One Year Individually < \$5,000 USD
Sub-agreements	Allowed	Not allowed
Payment Method	Reimbursement or advances	Reimbursement or advances
Equipment Purchasing	Allowed Must include RAASPs	Allowed Must include RAASPs

^a Required as Applicable Standard Provisions (RAASPs)

The DC&G will prepare the appropriate implementation instrument in accordance with Table 4.1, above. Copies of the grant agreement formats that are referenced in Table 4.1 are provided as Annexes.

4.2 TERMS AND CONDITIONS OF GRANT AGREEMENT

The terms and conditions that will control the grant are set forth in the grant agreement signed by the CELI-Central COP and the Grantee's authorized representative. The terms and conditions ensure that grant implementation and management are in full compliance with USAID policies, rules, and regulations. All grant agreements will contain at a minimum the following items, clauses, and provisions, as required.

4.2.1 Termination Rights

In accordance with ADS 302.3.5.6, the following clause will be included in all grant agreements:

Tetra Tech ARD may unilaterally terminate the grant in whole or part, or suspend payments, if there is reasonable cause to believe that the Grantee is or will be insolvent during grant performance, if funding under USAID Contract No. 514-C-11-00002 is no longer available, or under extraordinary circumstances.

In addition, CELI-Central will include the following:

USAID may unilaterally terminate or suspend this award in whole or part on an immediate basis because such assistance is deemed not in U.S. national interest, in violation of an applicable law, or other extreme circumstance.

4.2.2 Official Language

In case of inconsistency between any terms of the implementation instruments and any translation into another language, the English language meaning shall take precedent. The following clause will be included in all agreements:

For the convenience of both parties involved, the signed document is in English. In the event of inconsistency between the terms of this grant and any translation into another language, the English language meaning shall control and shall be the one referred to in the case of any dispute.

4.2.3 Branding and Marking

All Grantees are required to follow the USAID-approved CELI-Central Branding and Marking Plan (BMP). Furthermore, CELI-Central Grantees will be required to “co-brand” their projects as established for grants under contract ADS 320. All grant agreements will contain the following branding and marking provision:

The Grantee shall co-brand all USAID partially or fully funded programs, projects, activities, public communications, and commodities. Co-branding is placing the USAID identity next to the award recipient’s logo and ensuring equal size and prominence on USAID partially or fully funded programs, projects, activities, public communications, and commodities.

All Grantees under CELI-Central are required to comply with the requirements of the USAID *Graphics Standards Manual*, available at www.usaid.gov/branding, or any successor branding policy.

4.2.4 Tax Reporting

In accordance with AAPD 03-12, “Reporting on Taxation of U.S. Foreign Assistance,” CELI-Central will ensure that this reporting requirement is included in all grant awards as considered applicable and within the guidance prescribed. All Grantee tax reports will be consolidated with CELI-Central overall tax reporting conducted every April 16. This reporting requirement is not applicable in FOGs.

4.2.5 Prohibition against Terrorist Financing

U.S. Executive Orders and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. All NGOs will be required to sign the ATC, in accordance with AAPD 04-14. Every grant agreement will include the following clause as taken from the Mandatory Standard Provision entitled Implementation of E.O. 13224—Executive Order on Terrorist Financing:

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this grant agreement.

4.2.6 Mandatory Standard Provisions (MSPs)

It is required to use and attach MSPs to all standard grants, in accordance with ADS 303mab and ADS 303maa; Grantees are required to use these in all assistance agreements with non-U.S. organizations and U.S. organizations. Small grant formats require only applicable MSPs.

4.3 OBTAIN TETRA TECH ARD HOME OFFICE APPROVAL

Following the completion of the negotiation phase and responsibility determination, CELI-Central will forward the draft copies of the NM and the grant agreement to the Tetra Tech ARD Home Office (HO) Senior Grants Manager (SGM) for review and approval for all grants over USD\$100K. To assist field offices with this procedure, CELI-Central has developed the “Grantee File Checklist” (Annex M). The Grantee File Checklist contains a list of the required documentation that should be in the Grantee file prior to signing a grant agreement.

The CELI-Central DC&G will forward the following documents to the Tetra Tech ARD HO SGM for review and approval:

- Completed pre-award survey;
- Copies of all signed and dated required certifications;
- Copy of EPLS with applicable organization and key individuals—no negative determination;
- Environmental Impact Assessment or Initial Environmental Examination (approved by USAID);
- Negotiation Memorandum, including project description and the budget.
- Justification for Exception to Competition (when required); and
- Draft Grant Agreement (This may be done during the waiting period for USAID approval).

Should Tetra Tech ARD HO SGM approve, the CELI-Central DC&G will receive the following email:

Subject: Tetra Tech ARD HO Approval of **{insert contract code, grant number or reference number and date}**

Receipt of this email indicates Tetra Tech ARD HO approval and CELI-Central can proceed to obtain the approval from USAID.

4.4 OBTAIN USAID APPROVAL

The COTR shall be delegated the authority to approve grants upon approval of this Grants Management Plan. The DC&G will forward the grants package to the USAID COTR for approval and the USAID Mission Environmental Officer must approve all Environmental Reviews. Before signing grant agreements, CELI-Central must receive the prior written approval of the USAID COTR including approval as to 1) the identity of the proposed Grantee, 2) the amount of the proposed grant, and 3) the nature of the grant activities. The grants package consists of:

- Negotiation Memorandum, including project description and budget;
- Justification for Exception to Competition (when required); and
- Environmental Review.

STAFFING ASSIGNMENTS

The DC&G will determine which grant format is the most appropriate for any given grant. Upon making the determination, the DCG will include the steps in the NM and draft a grant agreement using templates approved. The Tetra Tech ARD HO SGM will provide support and guidance to CELI-Central DC&G to ensure grants compliance and accountability. The grant agreement can be drafted while waiting for USAID approval. As applicable, the Tetra Tech ARD HO SGM will review and provide support.

5.0 GRANT ADMINISTRATION

Grants will be administered in accordance with the prime contract between USAID and Tetra Tech ARD and for awards to U.S. and non-U.S. NGOs, ADS 303 and 22 CFR 226, applicable Office of Management and Budget (OMB) Circulars (e.g., A-110 for universities or higher learning institutions, A-122 for non-profit organizations, and A-133), and Standard Provisions for U.S. and non-U.S. Non-governmental Organizations. Grants provided to local organizations will be tied to participation in an ongoing support program that improves organizational and technical capacity (including fiscal capacity) and helps ensure quality performance.

5.1 GRANTEE CODE OF CONDUCT

The Grantee shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by CELI-Central funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the Grantee shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, or parties to sub-agreements. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the Grantee.

5.2 FINANCIAL MANAGEMENT

Grantees are expected to manage grant funds in accordance with 22CFR 226, the MSPs included in the grant agreement, and generally accepted accounting principles. The following section provides key concepts and policies for the financial management of grants under CELI-Central.

5.2.1 Grantee Bank Account

The Grantee must provide CELI-Central with the name and address of the bank, account number, and account name, which must be the official name of the organization.

Each Grantee shall establish appropriate accounting and financial control systems for the grant, including, but not limited to, the establishment of a separate and segregated financial accounting and record-keeping system and a separate project account for depositing and disbursing project funds.

5.2.2 Grantee Accounting

The Grantee shall maintain financial records, supporting documents, statistical records, and all other records pertinent to the grant in accordance with generally accepted accounting principles formally prescribed by the U.S., the cooperating country, or the International Accounting Standards Committee (an affiliate of the International Federation of Accountants) to substantiate charges to a grant sufficiently.

Accounting records with supporting documentation should show all costs incurred under the award, receipts, use of goods and services acquired under the award, the costs of the program supplied from other sources, and the overall progress of the program.

5.2.3 Disbursement–Advance and Reimbursement

Advances are not authorized under IKGs; therefore, the reimbursement method will be used. For IKGs, CELI-Central will make direct procurements and payments. For SiGs, FOGs, and SGs, advance payments may be used, or the project may choose to utilize reimbursement payments only. The project should consider very carefully whether advance payments will be utilized, particularly for SiGs and FOGs, since any advance payment introduces additional risk to the project.

For SiGs, all requests for reimbursement will be made for actual costs incurred on a monthly basis, when accompanied by supporting documentation for costs such as copies of receipts and employee timesheets. On a monthly basis, the Grantee will submit an Expense Reporting and Request for Reimbursement Form and supporting documentation to the DC&G.

When a FOG is used, all requests for reimbursement must correspond to a tranche payment specified in the FOG Agreement. After achievement of an agreed-upon “trigger” milestone, the Grantee initiates the reimbursement by attaching a Request for Reimbursement-Fixed Obligation Grants Form to the deliverable and submitting the package to the DC&G for review, comments, and approval. The DC&G will verify with technical officers on program deliverables and the payment amount and availability of funding, and forward to the Finance Office for payment processing. CELI-Central reserves the right to independently verify the milestone. In some cases, it may do so by means of verification by a third party of its choice.

For SiGs, FOGs, and SG grants utilizing advances, CELI-Central will issue an initial advance of three months’ expenses. Subsequent advances will be done on a quarterly basis, in accordance with the approved budget. Grantees may receive advance payments for grant expenditures. When advances are contemplated, the applicant will be required to maintain advanced funds in a separate interest-bearing account to ensure that CELI-Central funding is not comingled with non-CELI-Central funds. Interest earned on advanced funds will be handled in accordance with the standard provision “Payment Advances and Refunds (October 1998)” and the required as applicable standard provision “Payment-Advance (October 1998).” Grantees can request advances utilizing the Cash Transaction Report and Advance Request form. Cash advances to a Grantee shall be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the Grantee in carrying out the purpose of the approved program or project. The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the Grantee for direct project costs and the proportionate share of any allowable indirect costs.

5.2.4 Direct Payment to Vendor

In some instances, CELI-Central may procure goods or services on behalf of the Grantee to ensure that full and open competition is achieved or that purchases are compliant with specific regulations, such as the source origin regulations found at 22CFR 228. All direct vendor payments must be specified in the signed grant agreement. Procurement actions that are executed by CELI-Central will be done so in accordance with its policies and procedures, including price negotiation. CELI-Central may request a Grantee to participate in the procurement process in accordance with its instructions. A Grantee may not negotiate with a vendor for alternate equipment, commodities, and/or services. Grantee questions and/or special requests must be submitted to Tetra Tech ARD, not to the vendor.

5.2.5 Financial Reporting Forms

To facilitate Grantee requests for payment, financial tracking, and reporting, CELI-Central developed the following set of forms, which are referenced in this section and can be found in the document titled “Annexes to the Grants Management Plan (GMP)”:

- Annex N: Financial Reporting Forms and Instructions;
- Annex O: Request for Advance/Reimbursement-FOG Form;
- Annex P: Request for Advance/Reimbursement-SiG Form;
- Annex Q: Request for Advance/Reimbursement-SG Form;
- Annex R: Grantee Bank Account Reconciliation (GBAR);
- Annex S: Cost Share Reporting Form (CSR); and
- Annex T: Federal Tax Reporting Form (FTR).

5.3 TITLE TO AND USE OF PROPERTY

All property purchased by or provided to Grantees shall be subject to the “Title to and Use of Property (Recipient Title; over \$50,000) (October 1998)” or “Title to and Use of Property (Recipient Title; under \$50,000) (October 1998)” as applicable.

5.4 PROGRAM INCOME

Program income is the gross income earned by the Grantee that is directly generated by a grant activity or earned as a result of the grant; the exceptions are program income earned after the end of the project period, and program income earned from license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions produced under a grant, unless the terms and conditions of the award provide otherwise. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Program income will be handled in accordance with the Required as Applicable Standard Provision (RAASP) “Program Income (1998).”

5.5 REPORTING

The Grantee will submit the following reports to the DC&G:

- Quarterly or monthly Technical Reports, including details of activity implementation, interim data on performance indicators as available, and implementation challenges encountered during the reporting period (CELI-Central may choose to require more frequent reporting as necessary);
- All Financial Reports as agreed upon in the award document (Annexes N-T);
- Final Report, to be submitted to CELI-Central within 30 days of the expiration of the agreement or such other date as stated in the grant agreement;
- Cost Sharing Report—the inclusion of cost sharing by an applicant will require reporting along with the required financial report; and
- Reporting on Taxation of U.S. Foreign Assistance—in accordance with AAPD 03-12, “Reporting on Taxation of U.S. Foreign Assistance,” issued December 10, 2003, CELI-Central will ensure that this reporting requirement is included in all new awards as considered applicable and within

the guidance prescribed. Note that this reporting requirement is not considered applicable in fixed obligation grants that do not provide for a specific good or service.

5.6 PERFORMANCE MONITORING

Site visits will periodically be conducted by CELI-Central personnel or counterparts. Technical personnel will be responsible for ensuring that the objectives of each grant are completed in a timely manner and will report on site visits to document Grantee monitoring. The DC&G will review Grantee expense reports for unallowable items and will verify that the expenses are within the scope of the budget.

Self-monitoring and assessment by the applicant will be required, and outcomes from this will be included in the Periodic Project Performance Reports (Annex U). In addition, Grantees will be responsible for verifying and reporting on benchmark achievements. Verification methods include review of workshop or training attendance records, review of photo journals documenting project implementation period, CELI-Central staff attendance at ribbon ceremonies, and submission of deliverables, among other methods.

5.7 MONITORING GRANTS UNDER CONTRACT (GUC)

The Tetra Tech ARD HO Grants team and the field office DC&G are responsible for ensuring that the CELI-Central grants program is in compliance with USAID regulations and the prime contract through periodic monitoring of the grants documentation. The HO Grants Team will also provide CELI-Central support from the HO and in the field in order to assist during the administration. During the implementation of the CELI-Central grants program, Tetra Tech ARD HO will conduct internal compliance reviews to ensure full compliance and provide improvements to the GMP.

Independent evaluations by outside monitoring and evaluation specialists may be conducted on a random or as-needed basis in consultation with USAID and in accordance with new USAID Evaluation guidelines. These evaluations may be used to 1) provide institutional assessment of the implementing organization, 2) determine the extent of the achievement of objectives under the grant, 3) determine the impact of the activity on the community and Tetra Tech ARD's overall mandate, and 4) extract lessons learned.

CELI-Central will report to USAID on the progress of grants awarded and implemented as part of its normal reporting process submissions. The report will stress contributions to overall CELI-Central Project objectives. It should also include any problems encountered and describe attempts to correct them.

5.8 MODIFICATION OF GRANTS

Modification of an award requires the mutual written endorsement by CELI-Central and the Grantee. The Award Modification Notice (AMN) must be signed by both parties before any modifications are to move forward. CELI-Central has the authority to make the following types of modifications to active grants *without* USAID approval:

No-Cost Modification: A written modification will be issued when there is a need for material alteration of a programmatic aspect of an agreement without changing the original purpose of the grant and when there is no impact on cost.

No-Cost Extension: A written modification to change the end date of a grant without impact on costs. Non-competitive grants justified by the small award exception (ADS 303.3.6.5[d]) shall *not* be modified to extend the grant period beyond one year in *total* duration.

Budget Realignment: When CELI-Central exercises the option to restrict the Grantee from transferring funds among cost categories, the Grantee is required to obtain prior approval of the DC&G before making budget shifts which expect to exceed 10 percent of the total budget. The Grantee may not exceed the total grant budget ceiling without CELI-Central prior approval, and CELI-Central may not increase the grant ceiling without prior USAID approval.

The following type of modification will require prior USAID approval:

Cost Extensions (Follow-on Awards): Cost extensions shall be treated as a non-competitive award. Cost extensions shall not present a major shift in technical focus or content from the original grant. Concomitantly, it is expected that the Grantee will have gained technical insight and built capacity by means of lessons learned during original grant implementation. As such, these lessons learned should be clearly evident in the renewal request and contribute to overall activity impact.

The Grantee shall issue a letter to CELI-Central requesting the extension and justifying why the extension is requested. The Technical Manager shall review this request and will perform an internal evaluation of the request to assess:

- The Grantee's implementation performance with respect to technical work plan;
- Whether project results address critical needs of beneficiaries;
- Whether project results further CELI-Central overall objective;
- Current CELI-Central program priorities and funding limitations;
- Whether the renewal would assist the Grantee to come to closure on defined objectives or transition to other funding source(s);
- The Grantee's administrative performance;
- The Grantee's commitment to cost containment; and
- The Grantee's responsiveness to CELI-Central guidance and direction.

If the TO determines that the renewal would be in the best interest of the program, the Technical Manager will forward the request for approval to the DC&G for approval and subsequent submission to the USAID.

6.0 GRANT CLOSEOUT

CELI-Central will follow the guidance provided in the CIB 90-12 with the subject header “Guidance for AID Missions—Closing out Contracts, Grants, and Cooperative Agreements” and 22 CFR 226.70-73 to guide the grant project closure process.

The final disbursement of a grant will be withheld pending a satisfactory closeout visit by CELI-Central field staff and the submission of final programmatic and financial reports. Staff will gather impact evaluation information during this visit. The Grantee may be subject to a final audit as part of closeout activities, and adjustments may be required in the final disbursement.

The Grantee must certify in writing to CELI-Central that the activity/activities was/were completed in accordance with the terms of the grant agreement. If the Grantee cannot provide this certification, the Grantee will be expected to make appropriate reimbursements to CELI-Central, as applicable.

In addition to the recipient-generated closeout report, the DC&G or his/her designee should produce a final report for each grant that has been completed or terminated. This report should compare the final achievements with the original objectives, and describe the reasons for deviations as well as describe any project barriers that were overcome during the implementation of the project.

6.1 PREPARATION FOR GRANT COMPLETION

In accordance with the Prime Contract, Tetra Tech ARD will develop and implement a Task Order Contracting Officer’s Technical Representative (TOCOTR)-approved closeout plan that will include grants closeout. The closeout plan will be submitted to the TOCOTR six months prior to the expiration date of the Contract. The plan will include a review of grant files for audit purposes and final billing to USAID. Three months prior to the end of the grant period, the DC&G will prepare and deliver a letter outlining the closeout requirements to be completed before the end of the grant period (Annex V). This will assist the Grantees to set final targets and prepare for the closeout phase.

The final disbursement of a grant will be withheld pending a satisfactory closeout visit by CELI-Central field staff and the submission of final programmatic and financial reports. Technical staff will gather impact evaluation information during this visit. The Grantee may be subject to a final audit as part of closeout activities and adjustments may be required in the final disbursement.

When FOG is used, the Grantee must certify in writing to CELI-Central that the activities were completed in accordance with the terms of the grant agreement. If the Grantee cannot certify this, the Grantee will be expected to make appropriate reimbursements to CELI-Central, if applicable. The DC&G will ensure that this certificate is obtained and included in the Grant File (Annex W).

6.2 FINAL SITE VISITS

The DC&G or his/her designee will conduct the final site visit, including a desk audit, during the two-three-month closeout period to determine if the established programmatic objectives and requirements have been achieved and ensure that the final reports are prepared according to requirements. The financial status will also be reviewed to ensure that all amounts claimed as direct costs appear acceptable under the grant and applicable cost principles, that final amounts for indirect costs have been determined (if applicable), and that the amount of the Grantee’s cumulative claim does not exceed the total amount of

the funds obligated under the grant. All unused balance for the grant funds will be returned to CELI-Central during the closeout phase.

6.3 GRANT EVALUATION

In consultation with USAID and the Mission Order to be issued regarding Evaluations, the DC&G or his/her designee will work with the Grantees and the monitoring and evaluation technical team to determine the scope and focus of final external grant evaluations if they are required.

6.4 AUDITS

The Grantee shall assume full responsibility for effective and proper administration of the grant funds. CELI-Central reserves the right to audit the Grantee as described herein, and in the Grant Agreement.

Pursuant to the Standard Provision for Non-U.S. Organizations entitled “Accounting, Audit, and Records (October 1998),” if the Grantee expends *more* than \$300,000 in grants in a fiscal year, the Grantee shall conduct an external annual audit; the cost of which may be paid from the grant. To comply with these guidelines, CELI-Central will, when necessary, include “audit costs” in the approved grant budget. CELI-Central may also retain the services of an auditing firm to conduct these audits. Grantees that expend *less* than \$300,000 in a fiscal year shall open all financial records to CELI-Central and/or USAID upon request.

The Grantee shall maintain books, records, documents, and other evidence relating to the USAID grant in accordance with generally accepted accounting principles formally prescribed by the U.S. and Colombia to sufficiently substantiate charges to the grant.

The Grantee’s accounting records shall be made available to CELI-Central and/or USAID or their designees for review for up to three years after the submission of the final reports, according to the terms of the Grant Agreement.

6.5 GRANTEE RECORD RETENTION

All records generated by Grantees will be retained for a period of three years after the completion of the grant project and should be made available for external audits of the Tetra Tech ARD Project Contract. CELI-Central anticipates that originals of all receipts will be maintained by the Grantees and copies submitted to the Tetra Tech ARD Project office. The mandatory standard provision “Accounting, Audit, and Records (October 1998)” will be included in all grant agreements.

6.6 GRANT AGREEMENT COMPLETION LETTER

CELI-Central will prepare and deliver a letter stating the end of the grant period and closeout requirements to the Grantees two to three months before the end of the grant period. This will assist the Grantees to set final targets and prepare for the closeout phase.

6.7 GRANT RECORDS

The CELI-Central office is required to keep the following records pertaining to the grants program, which shall be shipped to Tetra Tech ARD HO upon completion of the prime contract:

1. Requests for Applications/Annual Program Statements;
2. The Grant Application/Proposal;
3. Grant Application/Proposal Evaluations;

4. Pre-award Surveys and supporting documentation;
5. Certifications;
6. Negotiation Memorandums;
7. Environmental Impact Assessment, when applicable;
8. Justifications for Exceptions to Competition;
9. Grant Agreement;
10. Grant Agreement Amendments;
11. USAID Approval of the Grant;
12. Monthly/Quarterly Technical Reports;
13. Monthly/Quarterly Financial Reports;
14. Grantee Monitoring Reports/Field Visit Reports;
15. Final Technical Report;
16. Final Financial Report;
17. Final Evaluation;
18. Audit Reports;
19. Closeout Report;
20. Communications;
21. Certification of Completion for FOGs; and
22. Final Inventory Disposition Instructions.

LIST OF ANNEXES

Annex A	CELI-Central Concept Paper Evaluation Form
Annex B	Grant Application Form
Annex C	Grant Application Evaluation Form
Annex D	Simplified Pre-Award Survey Forms (SPAS)
Annex E	Standard Pre-award Survey Form (PARD)
Annex F	In-Kind Negotiation Memorandum
Annex G	Negotiation Memorandum Form
Annex H	CELI-Central Proposal Competition Record
Annex I	In-Kind Grant Agreement Form
Annex J	Simplified Grant Agreement Form (SiG)
Annex K	Fixed Obligation Grant Agreement Form (FOG)
Annex L	Standard Grant Form Agreement (SG)
Annex M	Grantee File Checklist Form
Annex N	Financial Reporting Forms and Instructions
Annex O	Request for Advance/Reimbursement/Financial Report-FOG Form
Annex P	Request for Advance/Reimbursement/Financial Report-SiG Form
Annex Q	Request for Advance/Reimbursement/Financial Report-SG Form
Annex R	Grantee Bank Account Reconciliation (GBAR)
Annex S	Cost Share Reporting Form (CSR)
Annex T	Federal Tax Reporting Form (FTR)
Annex U	Project Performance Reporting Form
Annex V	Preparation for Grant Closure Letter
Annex W	Grant Completion Certificate Form
Annex X	CELI-CENTRAL Title Transfer Document Form
Annex Y	Web-links
Annex Z	Certifications and Mandatory Standard Provisions Table and Templates
Annex AA	Monthly Grant Tracking Form
Annex AB	Environmental Review Form
Annex AC	In-Kind Grant Making

U.S. Agency for International Development
1300 Pennsylvania Avenue, NW
Washington, DC 20523
Tel: (202) 712-0000
Fax: (202) 216-3524
www.usaid.gov



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CONSOLIDATION AND ENHANCED LIVELIHOOD INITIATIVE CENTRAL REGION (CELI-CENTRAL) GRANTS MANAGEMENT PLAN (GMP) ANNEXES

May 2011

This publication was produced for review by the United States Agency for International Development. It was prepared by Tetra Tech ARD.

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Prepared by:

Tetra Tech ARD
P.O. Box 1397
Burlington, Vermont 05402
USA

CONSOLIDATION AND ENHANCED LIVELIHOOD INITIATIVE CENTRAL REGION (CELI-CENTRAL) GRANTS MANAGEMENT PLAN (GMP) ANNEXES

MAY 2011

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS

AAPD	Acquisition and Assistance Policy Directive ¹
ADS	Automated Directives System
AEC	Application Evaluation Checklist
AEF	Application Evaluation Form
AGGMG	ARD Global Grants Management Guide
AMN	Award Modification Notification
APS	Annual Program Statement
ATC	Anti-Terrorism Certificate
BMP	Branding and Marking Plan
CELI-Central	Consolidation and Enhanced Livelihood Initiative-Central
CO	Contracting Officer
COP	Chief of Party
COTR	Contracting Officer's Technical Representative
CSR	Cost Share Reporting Form
DC&G	Director of Contracts and Grants
EPLS	Excluded Parties List System (List of Parties Excluded from Federal Procurement and Non-Procurement Programs)
FAR	Federal Acquisition Regulations
FOG	Fixed Obligation Grant
FTR	Federal Tax Reporting Form
GA	Grants Application
GBAR	Grantee Bank Account Reconciliation
GMP	Grants Management Plan
GOC	Government of Colombia
GUC	Grants Under Contract
HO	Home Office
MSP	Mandatory Standard Provisions
NGO	Non-governmental Organization
NM	Negotiation Memorandum
OFAC	Office of Foreign Assets Control
PARD	Pre-Award Responsibility Determination
PIO	Public International Organization
RAASP	Required As Applicable Standard Provisions
REC	Review and Evaluation Committee
RFA	Request for Applications
SG	Standard Grant
SGM	Senior Grants Manager
SiG	Simplified Grant Agreement
SPAS	Simplified Pre-Award Survey
TO	Technical Officers
USAID	United States Agency for International Development

¹ AAPDs provide information of significance to contracting personnel including (but not limited to): advance notification of changes in acquisition or assistance regulations; reminders; procedures; and general information.

ANNEX A: CELI-CENTRAL CONCEPT PAPER EVALUATION FORM

Grantee: _____ Grant Title: _____

Strategic Fit (40 points)	Score	Comments
1. Contribution toward CELI-Central success indicators in prime contract? (15 pts)		
2. Sustainability of project results? (10 pts)		
3. Anticipated impact on the beneficiaries? (15 pts)		
Technical Approach (30 points)		
1. Clearly defined problem statement? (10 pts)		
2. Goals clearly defined? (10 pts)		
3. Innovative technical approach? (5 pts)		
4. Potential obstacles defined and solutions? (5 pts)		
Past Performance/Organizational Capacity (20 points)		
1. Past performance in similar projects? (4 pts)		
2. Relevant staff skills to the proposed project (4 pts)		
3. Experience in geographic region? (4 pts)		
4. Written accounting and procurement procedures? (4 pts)		
5. Capacity to adhere to USAID financial guidelines? (4 pts)		
Gender Considerations (10 points)		
1. Focus on women participants or beneficiaries (5 pts)		
2. Impact on participants or beneficiaries (5 pts)		
{ } Points required to proceed in cycle. Total Score:		

1. Does the organization have legal status? Yes/No _____
2. U.S. Government banned organization: Yes/No _____
3. Application recommended for further review: Yes/No _____
4. If no, should the applicant be encouraged to resubmit: Yes/No _____

Proceed in Cycle _____ Decline to Proceed in Cycle _____

By affixing my signature below, I hereby certify that I have no real or apparent conflict of interest concerning this concept paper, the applicant organization, or any other consultant of business that may be involved in the referenced project.

Evaluators Name:

Signature:

Date:

ANNEX B: GRANT APPLICATION FORM

The length and detail required of the full proposal shall depend on the nature of the activity proposed and responding organizations. For all second-stage applications there will be a limit of 15 double-spaced typed pages, not including the budget or attachments. Please use Times New Roman 12 pt. font with one inch margins. Guidance on what level of detail will be considered acceptable for a particular size and type of proposal will be included in the notification/requests for the second-stage full proposals. An illustrative outline applicable for most full proposals would contain:

1. Table of contents listing all page numbers and attachments;
2. Executive summary (not to exceed three pages);
3. Proposed approach and strategy (problem analysis, root causes, proposed strategy);
4. Technical Approach (the technical approach must include a clear description of the approach and the general strategy (i.e., methodology and techniques) being proposed and explain how the approach is expected to achieve the proposed objectives. Applicants are encouraged to propose innovative programs designed to reach the desired outcomes/results. The roles and responsibilities of all partner organizations must be clearly identified);
5. Goal, objectives, and indicators (use a format stating project goal, measurable objectives, and indicators);
6. Organizational capacity;
7. Past performance on similar projects (Relevance of staff skills to the proposed program; Experience in geographic region; Soundness of accounting practices; Capacity to follow USAID financial guidelines);
8. Gender strategy;
9. Cost Sharing, if any;
10. Description of funding from other donors, if any;
11. Annexes;
12. Resumes for Key Personnel;
13. Letters of Concurrence from sub-agreement partners; and
14. Budget (see cost proposal format and instruction on the following page).

The applicant's agent must include the following statement in a duly signed cover letter attached to the application:

We, the undersigned, hereby submit this Grant application to CELI-Central for review and consideration. We have materially participated in its preparation. To the best of our knowledge, all information provided is current, complete, and accurate and based on the need to efficiently and effectively meet the needs of the target population.

Signature:

Date:

GRANT APPLICATION FORM- BUDGET SECTION

Grantees must provide detailed per activity budget using the following format (available in MS Excel for those with access to computer)

The Budget Section consists of the following parts:

1. Total budget showing a breakdown of costs.
2. Project costs should be broken down by what amount CELI-Central will fund, and what amount your organization will fund.
3. Budget Notes – Use the “notes” column - is set up to provide guidance.
4. Under the CELI-Central Grants Program - Value Added Tax (VAT) and Profits are not allowed.

Detailed Budget – Use Local Currency

Activity Description	Amount funded by CELI-CENTRAL Project (A)	Amount funded by [Grantee] (B)	TOTAL (Currency) (A+B)	Notes
1. Personnel/labor				
2. Equipment				
3. Materials and supplies				
4. Transportation				
5. Communications				
6. Services				
TOTAL BUDGET				

GRANT APPLICATION – DESCRIPTION OF BUDGET LINE ITEMS

Personnel/labor: List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization. Overtime costs will not be approved.

Equipment: List equipment to be purchased. Equipment is tangible property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. (Note: Lower limits may be set per grantees own equipment policy.) Expendable items should be included either in the “material and supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high-cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used. Procurement should be done as per USAID Regulations.

Materials and supplies: List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand-held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Transportation: Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, policy for subsistence rates, etc.

Communications: List telephone, internet, and cell phone expenses.

Services: Indicate whether applicant’s formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

- **Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project.
- **Consultant Expenses:** List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)
- **Contracts:** Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts.

Indirect Costs: Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement), must be attached. If the applicant does not have a federally approved rate, indirect costs may be justified by current indirect cost rates as determined by a Tetra Tech ARD-approved independent auditor or a certified statement of indirect cost rates by the Applicant’s independent auditors within 90 days of signing the grant agreement. All indirect cost rates must be approved by Tetra Tech ARD.

ANNEX C: GRANT APPLICATION EVALUATION FORM (AEF)

The **Review and Evaluation Committee (REC)** will formally review and rank all second-stage proposals independently, submit completed forms to the DC&G. The DC&G in consultation with the REC members can meet as a team to discuss any or all of the proposals after the individual reviews are completed. The DC&G must document any team meetings and results for the official grants file.

Date In:	Name of Applicant:	Application ID Number:
-----------------	---------------------------	-------------------------------

<i>REC Member Print Name</i>	<i>Title</i>

Criteria	Comments	Score
1. Strategic Fit 30 Points		
Contribution toward CELI-CENTRAL success indicators? <input type="checkbox"/> Excellent >> 10 <input type="checkbox"/> Good >> 7 <input type="checkbox"/> Fair >> 5 <input type="checkbox"/> Poor >> 0		
Sustainability of project results? <input type="checkbox"/> Excellent >> 10 <input type="checkbox"/> Good >> 7 <input type="checkbox"/> Fair >> 5 <input type="checkbox"/> Poor >> 0		
Anticipated benefits to the beneficiaries? <input type="checkbox"/> Excellent >> 10 <input type="checkbox"/> Good >> 7 <input type="checkbox"/> Fair >> 5 <input type="checkbox"/> Poor >> 0		
Subtotal		
2. Technical Approach of Project 30 Points		

Criteria	Comments	Score
Clearly defined problem statement? <input type="checkbox"/> Excellent >> 10 <input type="checkbox"/> Good >> 7 <input type="checkbox"/> Fair >> 5 <input type="checkbox"/> Poor >> 0		
Program goals clearly outlined? <input type="checkbox"/> Excellent >> 10 <input type="checkbox"/> Good >> 7 <input type="checkbox"/> Fair >> 5 <input type="checkbox"/> Poor >> 0		
Innovative technical approach? <input type="checkbox"/> Excellent >> 5 <input type="checkbox"/> Good >> 4 <input type="checkbox"/> Fair >> 3 <input type="checkbox"/> Poor >> 0		
Identified potential obstacles? And how to deal with them? <input type="checkbox"/> Excellent >> 5 <input type="checkbox"/> Good >> 4 <input type="checkbox"/> Fair >> 3 <input type="checkbox"/> Poor >> 0		
Subtotal		
3. Past Performance/Organizational Capacity 20 Points		
Past performance on similar projects? <input type="checkbox"/> Excellent >> 4 <input type="checkbox"/> Good >> 3 <input type="checkbox"/> Fair >> 2 <input type="checkbox"/> Poor >> 1		
Relevant staff skills to the proposed program? <input type="checkbox"/> Excellent >> 4 <input type="checkbox"/> Good >> 3 <input type="checkbox"/> Fair >> 2 <input type="checkbox"/> Poor >> 1		
Have worked in the geographic area proposed? <input type="checkbox"/> Excellent >> 4 <input type="checkbox"/> Good >> 3 <input type="checkbox"/> Fair >> 2 <input type="checkbox"/> Poor >> 1		

Criteria	Comments	Score
Soundness of accounting and procurement practices? <input type="checkbox"/> Excellent >> 4 <input type="checkbox"/> Good >> 3 <input type="checkbox"/> Fair >> 2 <input type="checkbox"/> Poor >> 1		
Capacity to follow USAID financial guidelines? <input type="checkbox"/> Excellent >> 4 <input type="checkbox"/> Good >> 3 <input type="checkbox"/> Fair >> 2 <input type="checkbox"/> Poor >> 1		
Subtotal		
4. Gender Considerations 10 Points		
Focus on women's participation/ involvement? <input type="checkbox"/> Excellent >> 5 <input type="checkbox"/> Good >> 3 <input type="checkbox"/> Fair >> 2 <input type="checkbox"/> Poor >> 0		
Impact on women's participation? <input type="checkbox"/> Excellent >> 5 <input type="checkbox"/> Good >> 3 <input type="checkbox"/> Fair >> 2 <input type="checkbox"/> Poor >> 0		
Subtotal		
5. Cost Effectiveness 10 points		
Are proposed expenditures allowable, reasonable, and allocable? Are headquarter costs reasonable? Has the cost share requirement been met? <input type="checkbox"/> Excellent >> 10 <input type="checkbox"/> Good >> 8 <input type="checkbox"/> Fair >> 5 <input type="checkbox"/> Poor >> 0		N/A
6. Total Points =		
Proceed to Responsibility Determination? <input type="checkbox"/>	Decline Funding? <input type="checkbox"/>	

By affixing my signature below, I hereby certify that I have no real or apparent conflict of interest concerning this application, the applicant organization, or any other consultant of business that may be involved in the referenced project.

<i>REC Members</i>	<i>Name</i>	<i>Date</i>	<i>Signature</i>
<i>CELI-CENTRAL</i>			

ANNEX D: SIMPLIFIED PRE-AWARD SURVEY (SPAS) FORM

Simplified Pre-Award Survey (SPAS): For use with simplified grants.

Tetra Tech ARD uses this survey to verify objectively potential Grantee's ability to comply and perform in accordance with the terms of their grant agreement. The survey may be filled out by the potential Grantee or by a Tetra Tech ARD audit team. In either case, Tetra Tech ARD will review the information in the survey and may require additional field visits to verify the information. The potential Grantee will be informed of any special considerations to be applied to their grant as a result of this survey.

There are four versions of the SPAS to be used with the following types of grants:

- A. Simplified Grant *without* advance
- B. Simplified Grant *with* advance
- C. Fixed Obligation Grant *without* advance
- D. Fixed Obligation Grant *with* advance.

A. SIMPLIFIED PRE-AWARD SURVEY (SPAS) FOR USE WITH SIMPLIFIED GRANTS (SIG) *WITHOUT* ADVANCE

Date SPAS conducted:	Application ID No.:
NGO Name:	
Name of NGO Contact Person:	
Address:	
Telephone:	Fax:
E-Mail:	

Purpose: This form assists the DC&G make a responsibility determination of a prospective Grantee under the CELI-Central grants program. The following conditions apply when using the SPAS to make eligibility determination:

1. ☐ The Grantee has received a Federal Award in the last five years; and
2. ☐ The Grantee has no deficiencies as reported in their last Audit; and
3. ☐ The DC&G is able to make a responsibility determination using informal or desk audits; or
4. ☐ A small grant format will be used (SiG) and payment will be made by reimbursement only (i.e., no advances)

If conditions 1, 2, and 3 do not exist simultaneously or condition 4 does not exist, then the SPAS Form **CANNOT** be used, and the DC&G will need to use a *Standard* Pre-Award Survey (PARD), or an alternate SPAS form to arrive at a responsibility determination.

☐ A SPAS is recommended for this application.

The following questions will assist the Director of Contracts and Grants in deciding whether the applicant will have the capacity to perform the grant obligations:

1	Does the applicant have adequate financial resources, or the ability to obtain such resources, as required during the performance of the award?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a copy of your annual budget. • Provide a narrative to indicate that the organization's budget is adequate enough to function as an organization during the CELI-Central award period. Is the budget sufficient to run the organization without relying on CELI-Central project funds? • State that you understand that the CELI-Central project funds should be used only to implement the approved project not to fund the running of the whole organization.
2	Does the applicant have the ability to comply with the award conditions taking into consideration all existing prospective Grantee commitments, non-governmental and governmental?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a list of all projects under implementation. • Explain how the projects are managed. • Explain strategies for managing CELI-Central project if awarded and the ongoing project. Are you willing to follow all required USAID rules, regulations, and procedures? • Are you willing to sign the Anti-Terrorism Certification? • What reporting system do you have in place for each of the projects you are currently implementing?
3	Does the applicant have a satisfactory record of performance? (Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.)
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a narrative on past performance on projects implemented. If need be, can you provide documentations that show past performance, including reports, outputs, financial records? • Has there been any record of unsatisfactory performance? If so, explain what happened. Do you have records to show what happened was not your fault? Was it mismanagement or was it due to unintentional mistakes? • If there is a history of unsatisfactory performance, please justify what happened.

4	Does the applicant have a satisfactory record of integrity and business?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a copy your organizational chart and list what management systems you have in place, such as Accounting Management Book; Administrative Policy, including Personnel Policy; and Information Management Systems. Can you provide copies of management systems? • Do you have a formal organizational system such as a board of directors? Does the board hold annual general meetings? If not, what type of organizational system do you have? • Briefly explain your standing in the community as an organization.
5	Is the applicant qualified to receive an award under applicable local, regional, and national laws and regulations?
Comments	Questions to ask <ul style="list-style-type: none"> • Is there Colombian law that regulates NGOs? If so, what do they have to do? Do the NGOs need to be registered with the government? If, not what is your official status? • Do you have a copy of the registration? Provide a copy of your registration.

Reporting Requirements:

- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats and the Grantee appears to understand the reporting requirements.
- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats; however, the Grantee does not appear to understand the reporting requirements.

Conclusion:

- ☐ Positive Responsibility Determination—I recommend this application for an award.
- ☐ Negative Responsibility Determination—I do not recommend this application for an award.

Simplified PAS Performed by:	Date:
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B. SIMPLIFIED PRE-AWARD SURVEY (SPAS) FOR USE WITH SIMPLIFIED (SIG) GRANTS WITH ADVANCE

Date SPAS conducted:	Application ID No.:
NGO Name:	
Name of NGO Contact Person:	
Address:	
Telephone:	Fax:
E-Mail:	

Purpose: This form assists the DC&G make a responsibility determination of a prospective Grantee under the CELI-Central grants program. The following conditions apply when using the SPAS to make eligibility determination:

1. ☐ The Grantee has received a Federal Award in the last five years; and
2. ☐ The Grantee has no deficiencies as reported in their last Audit; and
3. ☐ The DC&G is able to make a responsibility determination using informal or desk audits; or
4. ☐ A small grant format will be used (SiG) and payment will be made by advance.

If conditions 1, 2, and 3 do not exist simultaneously or condition 4 does not exist, then the SPAS Form **CANNOT** be used, and the DC&G will need to use a *Standard* Pre-Award Survey (PARD), or an alternate SPAS form to arrive at a responsibility determination.

- ☐ A SPAS is recommended for this application.

The following questions will assist the Director of Contracts and Grants in deciding whether the applicant will have the capacity to perform the grant obligations:

1	Does the applicant have adequate financial resources, or the ability to obtain such resources, as required during the performance of the award?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a copy of your annual budget. • Provide a narrative to indicate that the organization's budget is adequate enough to function as an organization during the CELI-Central award period. Is the budget sufficient to run the organization without relying on CELI-Central project funds? • State that you understand that the CELI-Central project funds should be used only to implement the approved project not to fund the running of the whole organization.
2	Does the applicant have the ability to comply with the award conditions taking into consideration all existing prospective Grantee commitments, non-governmental and governmental?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a list of all projects under implementation. • Explain how the projects are managed. • Explain strategies for managing CELI-Central project if awarded and the ongoing project. Are you willing to follow all required USAID rules, regulations, and procedures? • Are you willing to sign the Anti-Terrorism Certification? • What reporting system do you have in place for each of the projects you are currently implementing?
3	Does the applicant have a satisfactory record of performance? (Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.)
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a narrative on past performance on projects implemented. If need be, can you provide documentation that shows past performance, including reports, outputs, financial records? • Has there been any record of unsatisfactory performance? If so, explain what happened. Do you have records to show what happened was not your fault? Was it mismanagement or was it due to unintentional mistakes? • If there is a history of unsatisfactory performance, please justify what happened.

4	Does the applicant have a satisfactory record of integrity and business?
Comments	<p>Questions to ask</p> <ul style="list-style-type: none"> • Provide a copy your organizational chart and list what management systems you have in place, such as Accounting Management Book; Administrative Policy, including Personnel Policy; and Information Management Systems. Can you provide copies of management systems? • Do you have a formal organizational system such as a board of directors? Does the board hold annual general meetings? If not, what type of organizational system do you have? • Briefly explain your standing in the community as an organization.
5	Is the applicant qualified to receive an award under applicable local, regional, and national laws and regulations?
Comments	<p>Questions to ask</p> <ul style="list-style-type: none"> • Is there Colombian law that regulates NGOs? If so, what do they have to do? Do the NGOs need to be registered with the government? If, not what is your official status? • Do you have a copy of the registration? Provide a copy of your registration.
6	Is the applicant qualified to receive an advance of funds?
	<p>Questions to ask</p> <ul style="list-style-type: none"> • Is there a properly established bank account to receive USAID advances? • Are account-related bank unused checks and petty cash on hand adequately safeguarded? • Are there appropriate controls established over account disbursements? Please describe. • Are procedures established adequate to document account disbursement usage for grant activities? • Are appropriate procedures established for regular reconciliation of bank account statements with internal records? • Do you have prior experience with managing advances from external sources? If so, was past accountability adequate or past issues resolved? (Note: prior advance management experience not required.) • Do you have a comprehensive cash-flow projection for the proposed activity which supports the proposed implementation plan, and which can be readily updated periodically to project revised cash needs? • Do you understand USAID cash management requirements using either the 30-day rolling advance process or the working capital advance type methodology (see ADS 303, Awarding Fixed Obligation Grants Additional Help Document)?
7	CELI-Central should provide a summary assessment of the overall advance fiduciary risks below. Please classify the potential Grantee as high, medium, or low risk with a brief summary supporting narrative.

Reporting Requirements:

- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats and the Grantee appears to understand the reporting requirements.
- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats; however, the Grantee does not appear to understand the reporting requirements.

Conclusion:

- ☐ Positive Responsibility Determination—I recommend this application for an award.
- ☐ Negative Responsibility Determination—I do not recommend this application for an award.

Simplified PAS Performed by:	Date:
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C. SIMPLIFIED PRE-AWARD SURVEY (SPAS) FOR USE WITH FIXED OBLIGATION GRANTS (FOG) WITHOUT ADVANCE

Date SPAS conducted:	Application ID No.:
NGO Name:	
Name of NGO Contact Person:	
Address:	
Telephone:	Fax:
E-Mail:	

Purpose: This form assists the DC&G make a responsibility determination of a prospective Grantee under the CELI-Central grants program. The following conditions apply when using the SPAS to make eligibility determination:

1. ☐ The Grantee has received a Federal Award in the last five years; and
2. ☐ The Grantee has no deficiencies as reported in their last Audit; and
3. ☐ The DC&G is able to make a responsibility determination using informal or desk audits; or
4. ☐ A small grant format will be used (FOG) and payment will be made by reimbursement only (i.e., no advances)

If conditions 1, 2, and 3 do not exist simultaneously or condition 4 does not exist, then the SPAS Form **CANNOT** be used, and the DC&G will need to use a *Standard* Pre-Award Survey (PARD), or alternate SPAS form to arrive at a responsibility determination.

☐ A SPAS is recommended for this application.

The following questions will assist the Director of Contracts and Grants in deciding whether the applicant will have the capacity to perform the grant obligations:

1	Does the applicant have adequate financial resources, or the ability to obtain such resources, as required during the performance of the award?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a copy of your annual budget. • Provide a narrative to indicate that the organization's budget is adequate enough to function as an organization during the CELI-Central award period. Is the budget sufficient to run the organization without relying on CELI-Central project funds? • State that you understand that the CELI-Central project funds should be used only to implement the approved project not to fund the running of the whole organization.
2	Does the applicant have the ability to comply with the award conditions taking into consideration all existing prospective Grantee commitments, non-governmental and governmental?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a list of all projects under implementation. • Explain how the projects are managed. • Explain strategies for managing CELI-Central project if awarded and the ongoing project. Are you willing to follow all required USAID rules, regulations, and procedures? • Are you willing to sign the Anti-Terrorism Certification? • What reporting system do you have in place for each of the projects you are currently implementing? • Please identify your organization's principals/key personnel/organization structure. • Describe the staff expertise/management capabilities to be utilized for each activity.
3	Does the applicant have a satisfactory record of performance? (Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.)
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a narrative on past performance on projects implemented. Please provide documentation that shows past performance, including reports, outputs, and financial records. • Has there been any record of unsatisfactory performance? If so, explain what happened. Do you have records to show what happened was not your fault? Was it mismanagement or was it due to unintentional mistakes? • If there is a history of unsatisfactory performance, please justify what happened.

4	Does the applicant have a satisfactory record of integrity and business?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a copy your organizational chart and list what management systems you have in place, such as Accounting Management Book; Administrative Policy, including Personnel Policy; and Information Management Systems. Can you provide copies of management systems? • Do you have a formal organizational system such as a board of directors? Does the board hold annual general meetings? If not, what type of organizational system do you have? • Briefly explain your standing in the community as an organization.
5	Is the applicant qualified to receive an award under applicable local, regional, and national laws and regulations?
Comments	Questions to ask <ul style="list-style-type: none"> • Is there Colombian law that regulates NGOs? If so, what do they have to do? Do the NGOs need to be registered with the government? If, not what is your official status? • Do you have a copy of the registration and/or Articles of Incorporation? Provide a copy of your registration.

Reporting Requirements:

- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats and the Grantee appears to understand the reporting requirements.
- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats; however, the Grantee does not appear to understand the reporting requirements.

Conclusion:

- ☐ Positive Responsibility Determination—I recommend this application for an award.
- ☐ Negative Responsibility Determination—I do not recommend this application for an award.

Simplified PAS Performed by:	Date:
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D. SIMPLIFIED PRE-AWARD SURVEY (SPAS) FOR USE WITH FIXED OBLIGATION GRANTS (FOG) *WITH ADVANCE*

Date SPAS conducted:	Application ID No.:
NGO Name:	
Name of NGO Contact Person:	
Address:	
Telephone:	Fax:
E-Mail:	

Purpose: This form assists the DC&G make a responsibility determination of a prospective Grantee under the CELI-Central grants program. The following conditions apply when using the SPAS to make eligibility determination:

1. ☐ The Grantee has received a Federal Award in the last five years; and
2. ☐ The Grantee has no deficiencies as reported in their last Audit; and
3. ☐ The DC&G is able to make a responsibility determination using informal or desk audits; or
4. ☐ A small grant format will be used (FOG) and payment will be made by advance.

If conditions 1, 2, and 3 do not exist simultaneously or condition 4 does not exist, then the SPAS Form **CANNOT** be used, and the DC&G will need to use a *Standard* Pre-Award Survey (PARD), or alternate SPAS form to arrive at a responsibility determination.

☐ A SPAS is recommended for this application.

The following questions will assist the Director of Contracts and Grants in deciding whether the applicant will have the capacity to perform the grant obligations:

1	Does the applicant have adequate financial resources, or the ability to obtain such resources, as required during the performance of the award?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a copy of your annual budget. • Provide a narrative to indicate that the organization's budget is adequate enough to function as an organization during the CELI-Central award period. Is the budget sufficient to run the organization without relying on CELI-Central project funds? • State that you understand that the CELI-Central project funds should be used only to implement the approved project not to fund the running of the whole organization.
2	Does the applicant have the ability to comply with the award conditions taking into consideration all existing prospective Grantee commitments, non-governmental and governmental?
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a list of all projects under implementation. • Explain how the projects are managed. • Explain strategies for managing CELI-Central project if awarded and the ongoing project. Are you willing to follow all required USAID rules, regulations, and procedures? • Are you willing to sign the Anti-Terrorism Certification? • What reporting system do you have in place for each of the projects you are currently implementing? • Please identify your organization's principals/key personnel/organization structure. • Describe the staff expertise/management capabilities to be utilized for each activity.
3	Does the applicant have a satisfactory record of performance? (Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.)
Comments	Questions to ask <ul style="list-style-type: none"> • Provide a narrative on past performance on projects implemented. Please provide documentation that shows past performance, including reports, outputs, and financial records. • Has there been any record of unsatisfactory performance? If so, explain what happened? Do you have records to show what happened was not your fault? Was it mismanagement or was it due to unintentional mistakes? • If there is a history of unsatisfactory performance, please justify what happened.

4	Does the applicant have a satisfactory record of integrity and business?
Comments	<p>Questions to ask</p> <ul style="list-style-type: none"> • Provide a copy your organizational chart and list what management systems you have in place, such as Accounting Management Book; Administrative Policy, including Personnel Policy; and Information Management Systems. Can you provide copies of management systems? • Do you have a formal organizational system such as a board of directors? Does the board hold annual general meetings? If not, what type of organizational system do you have? • Briefly explain your standing in the community as an organization.
5	Is the applicant qualified to receive an award under applicable local, regional, and national laws and regulations?
Comments	<p>Questions to ask</p> <ul style="list-style-type: none"> • Is there Colombian law that regulates NGOs? If so, what do they have to do? Do the NGOs need to be registered with the government? If, not what is your official status? • Do you have a copy of the registration and/or Articles of Incorporation? Provide a copy of your registration.
6	Is the applicant qualified to receive an advance of funds?
	<p>Questions to ask</p> <ul style="list-style-type: none"> • Is there a properly established bank account to receive USAID advances? • Are account-related bank unused checks and petty cash on hand adequately safeguarded? • Are there appropriate controls established over account disbursements? Please describe. • Are procedures established adequate to document account disbursement usage for grant activities? • Are appropriate procedures established for regular reconciliation of bank account statements with internal records? • Do you have prior experience with managing advances from external sources? If so, was past accountability adequate or past issues resolved? (Note: prior advance management experience not required.) • Do you have a comprehensive cash-flow projection for the proposed activity which supports the proposed implementation plan, and which can be readily updated periodically to project revised cash needs? • Do you understand USAID cash management requirements using either the 30-day rolling advance process or the working capital advance type methodology (see ADS 303, Awarding Fixed Obligation Grants Additional Help Document)?
7	CELI-Central should provide a summary assessment of the overall advance fiduciary risks below. Please classify the potential Grantee as high, medium, or low risk with a brief summary supporting narrative.

Reporting Requirements:

- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats and the Grantee appears to understand the reporting requirements.
- ☐ Director of Contracts and Grants discussed reporting requirements and reviewed reporting formats; however, the Grantee does not appear to understand the reporting requirements.

Conclusion:

- ☐ Positive Responsibility Determination—I recommend this application for an award.
- ☐ Negative Responsibility Determination—I do not recommend this application for an award.

Simplified PAS Performed by:

Date:

ANNEX E: STANDARD PRE-AWARD SURVEY (PARD)

Pre-Award Responsibility Determination (PARD): For use with grants exceeding \$500K (U.S Grantees, only with prior approval from USAID), \$500K (Non-U.S. Grantees) or any standard grant using an advance payment method.

Tetra Tech ARD uses this survey to objectively verify potential Grantee's ability to comply and perform in accordance with the terms of their grant agreement, as required by Automated Directives System (ADS) 303.3.9. The accounting, financial, and legal framework within which many non-U.S. organizations operate will vary with the country within which they operate. The survey may be filled out by the potential Grantee or by a Tetra Tech ARD audit team. In either case, Tetra Tech ARD will review the information in the survey and may require additional field visits to verify the information. The potential Grantee will be informed of any special considerations to be applied to their grant as a result of this survey.

Date PARD conducted:	Application ID No.:
NGO Name:	
Name of NGO Contact Person:	
Address:	
Telephone:	Fax:
E-Mail:	

Part A: Pre-Interview Investigation

1. PRE-INTERVIEW INVESTIGATION:		Y/N	COMMENTS
1.1	Has the organization submitted the required documentation necessary to operate as an NGO in cooperating country?		
1.2	Does the documentation/application provide a clear summary of?		
	a) The program objectives?		
	b) The resources and steps required meeting the objectives?		
	c) The period of time expected for each step in implementation?		
	d) A realistic financial forecast?		
	e) Bench marks for progress measurement?		
1.3	Do the application documents include:		
	a) Basic rationale for the program activities?		
	b) Important assumptions?		
	c) A description of groups and individuals to be involved?		
1.4	Does the application documents include a system which enables the organization to assess:		
	a) A means by which it pursues established objectives?		
	b) The relevance of those means to the achievement of the objectives?		
	c) The adequacy of material and resource inputs for the achievement of objectives?		
	d) A coherent monitoring plan?		

1.5	Has the organization submitted a list of all previous grants or cooperative agreements involving similar or related programs over the past three years?		
1.6	From the aforementioned list, has the recipient met counterpart contribution requirements?		
1.7	Has the Recipient submitted budgetary availability for cost share amounts? Is it properly registered?		
2. LEGAL STATUS:			
2.1	Is the Organization a legal entity organized under the laws of the cooperating country?		
2.2	Can a copy of the articles of incorporation be provided?		
2.3	Is the organization authorized to raise funds in the cooperating country?		
2.4	Has the organization any state or quasi-state connection?		
2.5	Is the organization both voluntary and non-profit?		
2.6	Has the organization tax-exempt status in the cooperating country?		
2.7	Do any members of the Board receive a salary from the Institution?		
3. INDEPENDENCE:			
3.1	Does the department/section controlling the performance of the Grant interact with any other Governmental departments? Include details in the notes section.		
3.2	Is the agency independent to initiate action on its own?		
3.3	Is decision making restricted to senior management?		

Part B: Risk Assessment Questionnaire

To determine risk in an objective manner, this questionnaire serves as a guide to the persons conducting the PARD. Risk level is determined by the percentage of “yes” and “no” answers as follows:

Risk Level Determination	Rating
Low risk	Greater than 85% yes
Moderately low risk	71% - 85% yes
Moderate risk	51% - 70% yes
High risk	30% - 50% yes
Extremely high risk	Less than 30% yes

Tally up the number of “yes” answers and divide that by the total number of questions answered (Y + N), excluding those questions that are “N/A,” then multiply by 100.

1. ENVIRONMENT:	Y/N	COMMENTS
1.1 Are the physical premises neat and tidy, and are they conducive to efficient work?		
1.2 Is there appropriate equipment available for the execution of the grant?		
1.3 Is the physical condition of the equipment adequate to ensure that the grant is carried out?		
1.4 Is there generally a favorable attitude towards financial and administrative controls?		
1.5 Are all policies and procedures clearly documented with all tasks clearly defined?		
2. PERSONNEL AND STAFFING:		
2.1 Is there an organizational chart available showing the institutions staffing structure?		

2.2	Are the areas of responsibility and authority clearly defined?		
2.3	Does each employee have a comprehensive job description?		
2.4	Is there segregation of duty?		
2.5	Are there personnel policies?		
	a) In writing?		
	b) Applicable to all the organizations employees?		
2.6	How many staff will be involved in the execution of the grant?		
	a) Professional staff		
	b) Technical staff (Program)		
	c) Other staff		
2.7	Does the staff allocated to performing grant functions have any additional functions which they are expected to carry out? Include details in the notes section.		
2.8	Are regular in-house training courses conducted?		
2.9	Is there an official payroll system?		
2.10	Are all salaries subject to the taxation regulations of the country?		
2.11	Is the person processing the payroll different from the person authorizing payment?		
2.12	Is the organization familiar with local law in this regard?		
2.13	Are there provisions made for health and accident insurance for:		
	a) expatriate staff		
	b) national staff?		
2.14	Has the organization budgeted for severance pay? Is the organization familiar with local law?		

2.15	How will severance pay be made: a) upon termination of the grant or b) carried over and paid from non-USAID funds)?		
FINANCIAL STATUS			
3. BUDGET:			
3.1	Do the application documents include a project budget?		
3.2	How often are the budgets adjusted?		
3.3	Does the organization have the authority to commit their funds irrespective of the source of funding?		
3.4	Does the organization have the authority to disburse funds without obtaining approval from other agencies?		
4. CASH AND BANKING:			
4.1	Does the organization have a separate bank account for the grant funds?		
4.2	Is there more than one signatory to the bank account?		
4.3	Are separate bank accounts maintained for different fund sources?		
4.4	Are deposits made routinely to avoid the security risk of having large quantities of cash on hand?		
4.5	Is the person who conducts receipting, deposits different to the person billing?		
4.6	Is there an official cashier position?		
4.7	Are cash payments made for expenses more often than check payments?		
4.8	Is the petty cash maintained on an imprest system?		
4.9	Is the petty cash box accessible by more than one person at any one time?		
4.10	Are unannounced cashier verification conducted on a regular basis?		

4.11	Are bank reconciliation carried out on a regular basis?		
4.12	When was the last reconciliation performed?		
4.13	Is the reconciliation performed by a different person than the check signatory?		
4.14	Is there an acceptable system used by the organization to initiate a check or Cash payment?		
4.15	Do the authorization signatories differ from check signatories?		
4.16	Are check sequence checks carried out?		
4.17	Are bank reconciliation verified? By Whom?		
5. ACCOUNTING SYSTEMS:			
5.1	Does the organization have a documented accounting manual?		
5.2	Does the organization employ a bookkeeper/accountant to control all financial matters? Interview the employee and make comments on his/her capabilities/knowledge.		
5.3	Does the primary accountant have a good understanding of the General Accounting Procedures?		
5.4	Are the accounts computerized?		
5.5	Is the processing of accounting information up to date?		
5.6	What is the general state of the accounting records?		
5.7	Are all journal vouchers authorized by a senior person?		
5.8	What is the date of the last financial statements produced? Can we have a copy of these financial statements as well as the cash flow statement?		

5.9	Does the organization account on a cash or accrual basis?		
5.10	What percentage of the total budgeted expenditure is allocated for fund raising?		
5.11	Are expenditures controlled against authorized commitments?		
5.12	Are commitments controlled against an approved budget?		
6. AUDIT:			
6.1	Are audits performed on a regular basis?		
6.2	When was the last audit carried out, and can we have a copy of this audit report?		
6.3	What period did the last audit cover?		
6.4	Does the organization have an internal audit department?		
7. PROCUREMENT			
7.1	Are the functions of ordering, purchasing, receiving, authorization, and payment performed by different people?		
7.2	Are pre-numbered purchase orders used?		
7.3	Are the purchase orders approved by a senior person?		
7.4	Are quotes requested from three vendors for each purchase?		
7.5	When items are received, are they itemized and signed for by a responsible employee?		
7.6	Is any provision made in contracts for legal measures, which may be taken for non-performance/non-delivery/untimely delivery?		

8. ASSETS:			
8.1	Are all assets logged into a register?		
8.2	Is there adequate control over the personal use of the organizations assets?		
8.3	Is usage of assets controlled (i.e. with a vehicle logbook, or usage register)?		
8.4	Are all assets clearly marked with an identification number?		
8.5	Are operating assets segregated from project assets?		
8.6	Are assets segregated according to their funding sources?		
8.7	Is a physical inventory of assets carried out and are assets reconciled?		
8.8	Are assets covered by comprehensive insurance?		
8.9	What provision will be made for covering assets procured under the terms of this grant?		
8.10	Are telephone bills checked regularly?		
8.11	Are personal calls billed to staff members?		
8.12	Phone calls are only allowed for business purposes.		
9. INVENTORY:			
9.1	Does the Grant Agreement discuss the control of and use of inventory?		
9.2	Are inventories with expired usage life properly destroyed to ensure that they are never used?		
9.3	Is the destruction of expired inventories properly documented?		
9.4	Are inventory losses quantified and reported?		

9.5	Are adjustments made for any inventory under/over?		
9.6	Are inventory adjustments properly supported and authorized in writing by a senior person?		
9.7	Is the general attitude of access to the inventory very strict?		
10. TRAVEL:			
10.1	Are travel authorizations requested and obtained from senior management before the travel begins?		
10.2	Are travel expenses (lodging, meals, and incidentals) estimated and authorized before travel begins?		
10.3	Are travelers required to report on travel expenses after the travel has been completed? Are these reports prepared promptly?		
10.4	Are travel expenses reported immediately?		
10.5	Are all travel policies:		
	a) In writing?		
	b) Do they result in costs which are reasonable and allowable in accordance with the applicable cost principles?		
11. OTHER:			
11.1	Will the applicant make sub-agreements or sub-grants or subcontracts under this award? Yes/No. If yes, determine that they are in compliance with OMB Circular A133.		
12. NOTES: <i>(include the number of the item above to which the note refers)</i>			

13. RECOMMENDATIONS: <i>(include the number of the item above to which the recommendation refers, if necessary)</i>		
<p><input type="checkbox"/> No advances - The applicant does not meet the criteria for advance payment (22CFR 226.22(b)(1)) and has the working capital to finance the grant on a reimbursement basis.</p> <p><input type="checkbox"/> Working Capital Advance - When an applicant cannot meet the criteria for advance payments and the surveyor further determines that a reimbursement is not feasible, cash may be provided on a 'working capital' advance basis. The working capital is normally intended to cover a 30-day disbursing cycle. Thereafter, reimbursements will be used. Do you recommend that the applicant use a 'working capital' advance process? Yes/No. If yes, inform the applicant in writing of the new funds request process.</p> <p><input type="checkbox"/> Advance payment – The applicant meets the criteria for advance payment (22CFR 226.22(b)(1)).</p> <p>Other Recommendations:</p>		

ANNEX F: CELI-CENTRAL IN-KIND GRANT NEGOTIATION MEMORANDUM FORM

Grant Number:

Grantee Organization:

Duration of the Award:

Purpose of the Award:

1. Does the prospective Grantee understand the financial aspects of the program and have the ability to perform the grant activities with the funds requested?

Yes_____ No _____ N/A (in-kind grant)_____

Comments:

2. Will the applicant's plans accomplish the program objectives with reasonable economy and efficiency? Yes_____ No _____

Comments:

3. Are there any special conditions relating to costs that are placed in the award?
4. Grantee Cost-Sharing, (if any): What is covered in the Grantee's cost-sharing? How has the Grantee satisfied the cost-sharing component?
5. Is the prospective recipient's proposal consistent with its cost accounting practices, policies, and procedures? Yes_____ No _____

Comments:

1. Are the prospective recipient's indirect cost rates consistent with the sound financial practice? Yes_____ No _____ N/A (no indirect costs in this grant)_____

Comments:

Labor: Are the labor rates specified and do they include additional cost factors other than base labor?

Material: Any material costs presented? How were these costs substantiated (i.e., vendor quote, cost/price history, etc.)?

Facilities Costs: What is the basis of facility and equipment use costs (i.e., vendor quote, cost/price history, etc.)?

Other Costs Elements:

The undersigned has reviewed the prospective recipient's proposal and determined that the cost proposal is fair and reasonable for the program proposed.

Name

Date

Title

The undersigned has reviewed the prospective recipient's proposal and determined that the cost proposal requires additional information and clarification prior to award of funds as detailed in this memorandum above.

Name Date

Title

Elements of Cost Review:

ANNEX G: CELI-CENTRAL NEGOTIATION MEMORANDUM FORM

This document serves as a guideline for the Director of Contracts and Grants to document for each grant project under the CELI-Central grants program.

Grant No. :	
Grantee:	

Tetra Tech ARD has entered into a contract with USAID 514-C-11-00002, which requires the CELI-Central Project to award grants under contract. Furthermore, pursuant to ADS 303 and ADS 304, grants can be made to U.S. or non-U.S., not-for-profit or profit-making organizations. To this end, CELI-Central intends to award a grant to **[Grantee]**, a **[Nationality] [Type of Organization]**, upon approval by USAID.

USAID approval is being sought in accordance with Tetra Tech ARD's contractual obligations as per USAID Contract No. 514-C-11-00002. The Grant Agreement will be issued upon approval by USAID.

B: RATIONALE FOR CHOICE OF INSTRUMENT

The following grant instrument was chosen:

Indicate with an "X"	Grantee Classification	Anticipated Dollar Threshold	Recommended Implementation Instrument
<input type="checkbox"/>	Non-U.S.	< \$500,000	Simplified Grant Format (FOG or SiG)
<input type="checkbox"/>	Non-U.S.	> \$500,000	Standard Grant Format
<input type="checkbox"/>	U.S.	< \$500,000	Simplified Grant Format (FOG or SiG)
<input type="checkbox"/>	U.S.	> \$500,000	Standard Grant Format

☐ The fixed obligation grant (FOG) instrument was chosen because the project activities are very specific in nature and the activity is less than three years and the grant is below the dollar threshold. The Director of Contracts and Grants chose the use of the FOG format because the accomplishment of the milestones detailed in the application are readily discernible and the anticipated costs are clear-cut as required by ADS 303.3.24.1 (Fixed Obligation Grants to Non-Governmental Organizations).

☐ A simplified grant format (SiG) was chosen because the activity is less than three years and the grant is below the dollar threshold, however there is not adequate cost data available to "fix" the price of the grant.

☐ A standard grant format was chosen because the activity requires a more complex award instrument than the simplified formats above, and is above the dollar threshold for simplified format grants.

☐ This grant was competed via **request for application (RFA) No. XXXX**

☐ This grant was awarded on a noncompetitive basis in accordance with ADS 303.3.6.5...provide narrative justification...

C: BRIEF DESCRIPTION OF THE PURPOSE OF THE AWARD AND DURATION

The purpose of the grant award is to allow **[Grantee]** to conduct the grant activity, scheduled to begin **[Insert Start Date]** and conclude on **[Insert End Date]**. Additional descriptive information is listed below:

C.1: Executive Summary

C.2: Program Description

C.3: Goals and Objectives and Results to be Achieved

C.4: Target Audience and Geographic Focus

C.5: Technical Approach

C.6: Management Plan

C.7: Implementation Schedule

C.8: Budget

C.9: Performance, Monitoring, and Evaluation Plan

{Note: Not all USAID project will require the detailed information listed above. Check the prime contract and/or check with the COTR to find out the level of detail project description information required per project}

D: DETAILED COST BREAKDOWN AND ANALYSES WITH JUSTIFICATION OF ALL COST ELEMENTS

{Describe the steps taken by CELI-Central in reviewing and analyzing the Grant Budget. Focus on any increases or decreases that result from the analysis}

Example:

The CELI-Central Director of Contracts and Grants (DC&G) performed a detailed and comprehensive cost analysis. The cost analysis was performed on each line item of the Grant Budget. For each line item, the DC&G analyzed the “Unit of Measurement”, the “Quantity of Units,” and “Unit Cost.” To assist in this analysis, the DC&G compared budgeted amounts to objective third party source documentation, such as ABC Vendor Price List, DEF Vendor Price List, and XYZ Vendor Price List.

Within the Grant Budget, Line Item 1.1 “Design Display Case,” serves as an example of the methodology used by the DC&G in performing cost analyses of the budget. The unit of measurement is calculated using..., the number of units to be produced is one, and the unit cost is 500 Lemps.

The DC&G determined that the line item appears reasonable after it compared the unit of measurement per Grantee to the ABC Vendor Price List. In this example, ABC recommended that the unit of measurement not exceed 30% of the direct construction cost which would result in a cost of 1,200 KM, however the Grantee has budgeted 500 KM, clearly an amount which is below the fair market value. Additionally, please note that the DC&G....

For each line item, the DC&G has followed this methodology in performing cost analysis. The cost analysis is detailed in excel spreadsheets that are attached. Each cost analysis has been reviewed by the **CELI-Central** _____ and is considered justified since the line items directly achieve the expected results of the grant with economy and

efficiency. The cost analysis has resulted in a decrease of ~\$150 from the original Grant Budget. The reduction results from a combination of CELI-Central's cost analysis as well its determination that certain activities were not justified or were not directly supporting program activities.

A budget, representing the CELI-Central contribution to the project, is attached to the grant. Additional, cost breakdown, as well as detailed notes justifying the cost elements, is maintained in the Grantee's official file.

E: INFORMATION ON INDIRECT COST RATES WITH A COPY OF NICRA, IF APPROPRIATE

Not applicable. Indirect costs are not allowable under this grant agreement. *{state specifics of the approved indirect costs if applicable}*

F: GRANTEE'S MANAGEMENT RESPONSIBILITY, POLICIES, ORGANIZATION, AND FINANCIAL ASPECTS

Rationale for Determination Responsibilities will include, if appropriate, supporting information and/or Pre-award Survey Reports:

CELI-Central used the following formats, indicated below with an "X." Copies of these forms are maintained within the Grantee's official award file.

- ☐ Simplified pre-award survey (SPAS)
- ☐ Standard pre-award survey (PARD)
- ☐ On-site pre-award assessments – documented in memo
- ☐ None of the above – reasons documented in memo

The CELI-Central DC&G must summarize what actions were taken by CELI-Central so that CELI-Central could make a responsibility determination.

Example:

CELI-Central conducted a simplified pre-award responsibility determination (PARD) of the potential Grantee at their office in Bogota. The PARD is intended to fulfill the pre-award responsibility determination requirements called for in ADS 303.3.9. The PARD was used by the DC&G in determining whether the Grantee can effectively implement the grant activities. Based on discussions with Key Personnel at the Grantee's Organization, the DC&G concluded that the Grantee has the potential ability to perform the grant activities in accordance with the requisite CELI-Central regulations and guidelines which are closely linked to 22 CFR 226 and OMB Circular A-110. Additionally, the Grantee has identified a project manager who is able to oversee and implement the program activities. The DC&G also determined that the Grantee has adequate financial resources so that it can perform program activities. Although the Grantee does not have past USAID experience, the DC&G has reviewed past donor reports and performed other due diligence activities in order to make the determination that the Grantee has a satisfactory record of past performance as well as a satisfactory record of integrity and business. Additionally, the DC&G has determined that the Grantee is qualified to receive an award under applicable laws and regulations.

The DC&G also discussed the various reporting requirements with the Grantee to ensure that they a) had adequate understanding of the requirements and b) the ability to timely and accurately report on the grant activity. The conclusion was made that the Grantee had both an understanding of the reporting requirements and furthermore has assigned an individual the responsibility of preparing and submitting the required reports.

The CELI-Central COP, together with members of the REC, and the DC&G have compared the proposed program description against the total budget and determined that the proposed budget supports the program activities and vice versa.

A copy of the pre-award responsibility determination is maintained in the official grant files.

G: IF APPLICABLE, CLASSIFICATION OF HIGH RISK AND STEPS TO MINIMIZE THE RISK

Tetra Tech ARD does not consider the Grantee to be a high-risk Grantee. Factors used in determining risk:

- ☐ Financial analysis and projections;
- ☐ Cost and price proposal;
- ☐ Organization inquiries; and
- ☐ On-site, pre-award assessments (including PARD and/or SPAS).

H: A STATEMENT THAT USAID'S CONSOLIDATED LIST OF DEBARRED, SUSPENDED, AND INELIGIBLE AWARDEE HAS BEEN REVIEWED AND THE GRANTEE'S NAME WAS NOT INCLUDED ON THE LIST

The DC&G, during the high-level review of the application, conducted a review of the consolidated list of debarred, suspended, and ineligible awardees and concluded that the Grantee was not included on the list. The on-line database utilized was found at: <http://www.arnet.gov/epls/> (List of Parties Excluded From Federal Procurement and Non-procurement Programs). U.N. 1267 list and OFAC's SDN List was checked and the Grantee or its key individual was not on the list.

I: PLACES, DATES AND ATTENDANCE AT ALL MEETINGS, AGENDA AND DECISIONS MADE

Please refer to the Attachment for a detailed listing of meetings and respective agenda items and decisions made.

Date	Location	In Attendance	Results	Other Ref/Notes
Prepared by:				Date:

ANNEX H: CELI-CENTRAL PROPOSAL COMPETITION RECORD FORM

Proposal Competition Record*

The following proposal was competitively bid: ____yes ____no

Grant Number:

Grantee:

Submission Date:

A. If yes, describe the competitive process that was followed and attach supporting documents:

B. If no, choose which of the following US Government exemptions to competition that applies:

____1) Small Awards. This proposal has an estimated total amount of \$100,000 or less and with a term of no more than one year. This award will not be amended either to add funds beyond \$100,000 nor to extend the date beyond one year from the original date of the award.

____2) Unsolicited applications/proposals. This proposal is an unsolicited application that clearly demonstrates a unique, innovative, or proprietary capability, represents appropriate use of USAID funds to support or stimulate a public purpose, and fits within an existing strategic objective. This proposal was submitted to Tetra Tech ARD solely on the applicant's initiative without prior formal or informal solicitation from Tetra Tech ARD. The below signatures authenticate that this proposal was unsolicited.

____3) Exclusive or Predominant Capability. This proposal is from an organization which is considered to have exclusive or predominant capability based on proprietary capability, specialized facilities or technical expertise, or based on an existing unique relationship with the cooperating country or beneficiaries.

{Describe in detail the uniqueness of proposal and proposed recipient. Describe how other options were explored.}

The below signatures support the fact this proposal is not a continuation of a relationship with a recipient which received a non-competitive award based on the Exception #1 above (the Small Award Exception.).

Submitted by:

Director of Contracts and Grants

Approved by:

Chief of Party

*Note that grants to Public International Organizations (PIOs) are exempt from competition according to ADS 308.5.4.

ANNEX I: CELI-CENTRAL IN-KIND GRANT AGREEMENT FORM

IN-KIND GRANT AGREEMENT

Date:
Name:
Grantee:
Address:

Subject:

Dear:

In response to your request for assistance dated «**Date_Received**», Tetra Tech ARD is pleased to award to «**Grantee**» this in-kind Agreement for commodities and services as shown in Attachment 2 hereto, budget, in support of your project activity titled «**grant_title**». We have estimated the fair market value of the commodities and services provided under this Agreement at «**Grant Amount**»

This agreement is effective as of the date of this letter through «**End_Date**». In-kind resources will be made available in accordance with the schedule provided in the attached list of materials. We understand that «**Grantee**» will contribute goods and services valued at the local currency equivalent of approximately «**GranteeContribution**» to the program. Commodities/services provided under this Agreement may be utilized to complete the program objectives as stated in your request.

Tetra Tech ARD in consultation with the Grantee, has the authority to make modifications to this Agreement, provided that the modifications are: (1) minor or administrative in nature; (2) do not change the objectives of the Agreement; (3) are satisfactory to the Recipient Organization; and (4) are promptly notified to the Contracts and Grants Manager of CELI-Central program in Colombia. All other modifications require the prior approval of the USAID/COTR.

By accepting this Agreement the Recipient Organization agrees to:

1. Document that reasonable steps were taken to ensure that all commodities/services provided under this In-Kind Agreement are reasonably secured and used for the program purposes described above.
2. Based upon a review of the documents and other facts, acceptance of the in-kind commodities/services will not result in, or create the appearance of, a conflict of interest.
3. Maintain complete records of all commodities/services for a period of three years after the expiration of the Agreement and make such records available to Tetra Tech ARD and/or its representatives for review at any time.
4. Provide full access to the project site for the purpose of evaluation of project activities and inspection of commodities provided under this agreement. Tetra Tech ARD may withhold

additional resources at any time during the period of this Agreement if «Grantee» has failed to comply with the project objectives, terms, conditions or reporting requirements of the Agreement.

5. Return all equipment and commodities provided under this agreement to Tetra Tech ARD in the event of termination of this agreement.

Prohibition against Support for Terrorism

The Grantee is reminded that U.S. Executive Order and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with the Executive Orders and laws. This provision must be included in all subcontracts/subawards.

One of the applicable orders is Executive Order 13224, dated September 24, 2001, updated as Revision 2 in AAPD 04-14. The website of the Office of Foreign Assets Control (OFAC) of the Department of Treasury contains the text of that order and a list of the individuals and entities designated there under. It also contains lists of individuals and entities designated under other anti-terrorism statutes, regulations, and Executive Orders. See <http://www.treasury.gov/offices/enforcement/ofac/sdn/>.

Tetra Tech ARD may terminate this Agreement upon 30 days written notification if the Recipient Organization is not in compliance with the terms and conditions of this agreement or otherwise executes the supported project activity in a manner inconsistent with the objectives of this Agreement.

Tetra Tech ARD may unilaterally terminate the grant in whole or part, or suspend payments, if there is reasonable cause to believe that the Grantee is or will be insolvent during grant performance, if funding under USAID contract 514-C-11-00002 is no longer available or under extraordinary circumstances

Reporting requirements are detailed in the project description but must include a brief final report using the attached 'Recipient Organization Performance Report' form, Attachment 3. For the in-kind goods provided, this final report will list the remaining stock of expendable items, an inventory of non-expendable items, and a proposal for their future use.

Tetra Tech ARD does not assume liability for any third party claims for damages arising out of this Agreement.

USAID may unilaterally terminate or suspend this award in whole or part on an immediate basis because such assistance is deemed not in U.S. national interest, in violation of an applicable law or other extreme circumstance.

Please sign below to acknowledge receipt and confirm acceptance of Agreement and return the original to the undersigned.

Sincerely Yours,

{COP Name}

Chief of Party

ACKNOWLEDGED:

«Grantee»

Signed _____

By: «**GranteeContact**»

Title: _____

Date: _____

Attachments:

Attachment 1: Program Description

Attachment 2: Budget

Attachment 3: Program Performance Report

Attachment 4: Applicable Mandatory Standard Provisions

Attachment 1: Program Description

«Program Description Summary»

«Activity_Objectives»

«Beneficiaries_Description»

«Deliverables»

«Coordination and Speical Instructions»

Attachment 1: Budget

«attach approved budget»

Attachment 1: Program Performance Report

«attach Performance Reporting format»

Attachment 1: Applicable Mandatory Standard Provisions Debarment, Suspension, and Other Responsibility Matters (January 2004)¹

1. The Recipient agrees to notify the COP immediately upon learning that it or any of its principals:
 - a. Are presently excluded or disqualified from covered transactions by any Federal department or agency;
 - b. Have been convicted within the three-year period preceding this proposal of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

- c. Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and
 - d. Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.
- 2. The Recipient agrees that, unless authorized by the COP, it will not knowingly enter into any sub-agreements or contracts under this Grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The Recipient further agrees to include the following provision in any sub-agreements or contracts entered into under this award:

Debarment, Suspension, Ineligibility, and Voluntary Exclusion (December 2003)

The Recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

- 1. The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

DRUG-FREE WORKPLACE (JANUARY 2004)¹

- 1. The Recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must:
 - (a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 - (b) Specify the actions the Recipient will take against employees for violating that prohibition; and
 - (c) Let each employee know that, as a condition of employment under any award, he or she:
 - i. Must abide by the terms of the statement; and
 - ii. Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
- 2. The Recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about:
 - (a) The dangers of drug abuse in the workplace;
 - (b) Your policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
- 3. Without the COP's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
- 4. The Recipient agrees to immediately notify the COP if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, and the number of each award on which the employee worked. The notification must be sent to the COP within ten calendar days after the Recipient learns of the conviction.
- 5. Within 30 calendar days of learning about an employee's conviction, the Recipient must either:

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

- (a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended; or
 - (b) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
6. The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

Disability Policy (December 2004)¹

1. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
2. USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction (September 2004)²

1. One of the objectives of the USAID Disability Policy is to engage other U.S. government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities. As part of this policy, USAID has established standards for any new or renovation construction project funded by USAID to allow access by people with disabilities (PWDs). The full text of the policy paper can be found at the following website: http://www.usaid.gov/about/disability/financed_construction.html.
2. USAID requires the recipient to comply with standards of accessibility for people with disabilities in all structures, buildings, or facilities resulting from new or renovation construction or alterations of an existing structure.
3. The recipient will comply with the host country or regional standards for accessibility in construction when such standards result in at least substantially equivalent accessibility and usability as the standard provided in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) Accessibility Guidelines of July 2004. Where there are no host country or regional standards for universal access or where the host country or regional standards fail to meet the ADA/ABA threshold, the standard prescribed in the ADA and the ABA will be used.

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-17.

² This provision is included in the Fixed Obligation grant agreement in accordance with AAPD 05-07.

4. New Construction. All new construction will comply with the above standards for accessibility.
5. Alterations. Changes to an existing structure that affect, or could affect, the usability of the structure will comply with the above standards for accessibility unless the recipient obtains the Agreement Officer's advance approval that compliance is technically infeasible or constitutes an undue burden or both. Compliance is technically infeasible where structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features that are in full and strict compliance with the minimum requirements of the standard. Compliance is an undue burden where it entails either a significant difficulty or expense or both.

Exceptions. The following construction-related activities are excepted from the requirements of paragraphs 1 through 4 above: (1) Normal maintenance, re-roofing, painting or wallpapering, or changes to mechanical or electrical systems are not alterations and the above standards do not apply unless they affect the accessibility of the building or facility; and (2) emergency construction (which may entail the provision of plastic sheeting or tents, minor repair and upgrading of existing structures, rebuilding of part of existing structures, or provision of temporary structures) intended to be temporary in nature. A portion of emergency construction assistance may be provided to people with disabilities as part of the process of identifying disaster- and crisis-affected people as "most vulnerable."

ANNEX J: SIMPLIFIED GRANT (SIG) FORM

SIMPLIFIED GRANT AGREEMENT (SIG)

[Insert date]

[Insert grant number]

[Insert grant title]

Between:

Tetra Tech ARD

and

[Insert name of Grantee's responsible party]

[Grantee name]

[Address]

Dear Mr./Ms. [Insert last name from the above],

In response to your request for assistance dated [Insert received date of application] Tetra Tech ARD, implementer of the Consolidation and Enhanced Livelihood Initiative-Central Region Program in Colombia (hereinafter referred to as "CELI-Central" is pleased to award to the [Grantee name] (hereinafter referred to as "Grantee") this grant in the amount not to exceed United States Dollars (USD)\$ [Insert amount in number] ([Insert amount in words] U.S. Dollars) as a contribution to your program to "[Insert project title]" as described in Attachment 1, entitled 'Project Description,' during the period [Insert start date] to [Insert end date]. CELI-Central understands that the Grantee will contribute goods and services valued at approximately [Insert contribution in \$] to the program. {Use only when there is a cost share match.}

Funds provided under this grant may be utilized to reimburse your organization for actual incurred costs of [Insert project title] required completing the program as described in Attachment 1 entitled "Grant Application." Additionally, this grant is made to the Grantee on condition that the Grantee adheres to the Mandatory Standard and Special Provisions prescribed in Attachment 5 entitled "Mandatory Standard and Special Provisions for Simplified Grants."

{When reimbursement method is used, use this paragraph and delete the paragraph below} The Grantee shall submit to the CELI-Central DC&G, an original and two copies of the "Expense Reporting and Request for Reimbursement" form, on a monthly basis and in no event later than on a quarterly basis. Each form shall be identified by the award number and shall state the total costs for which reimbursement is being requested. Copies of this form may be obtained from the CELI-Central Director of Contracts and Grants.

{When advances are used, use this paragraph and delete the paragraph above} The Grantee shall submit to the CELI-Central DC&G, an original and two copies of the "Request for Advance/Reimbursement-SiG and Financial Report-SiG" and "Grantee Bank Account Reconciliation". Payment shall be made to the Grantee in advance installments and Tetra Tech ARD's DC&G will determine the applicable method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.

The financial report is the basis upon which payments of the grant amount under this agreement shall be calculated and paid. The disbursement will be based on the following:

- a) Grantee has demonstrated effective control over and accountability for all funds, property, and other assets. Grantee shall adequately safeguard all such assets and assure they are used solely for the authorized purpose.
- b) The request for payment shall include a certification signed by an authorized representative of the Grantee as follows:

'The undersigned hereby certifies: a) that the above amount for expenses represents the best estimate of funds needed for the disbursements to be incurred over the period described; b) that payment of the sum claimed as total spent in this request is proper and due and that all funds provided by Tetra Tech ARD have been used solely for the purposes described in the Grant Agreement and in accordance with all of the terms and conditions therein; c) that appropriate refund or credit to the Grant will be made in the event of a disallowance in accordance with the terms of the Grant, for nonperformance in whole or in part under this Grant, in the event funds are not expended, and that any interest exceeding \$250 per year accrued on the funds made available herein will be refunded to Tetra Tech ARD; d) that information in the financial report is correct and any detailed supporting information as the Grantor may require will be furnished by the Grantee promptly upon request; and, e) that all requirements called for by the Grant Agreement have been met up to the date of this certification.'

By:
Name:
Title:
Date:

The Grantee will present all the reports to the Tetra Tech ARD Director of Contracts and Grants. Through its authorized representative(s), Tetra Tech ARD shall have the right, at all reasonable times, to inspect or otherwise evaluate the work being performed as a result of receipt of the Grant funds by conducting site visits, or in other ways assessing the work being performed as a result of the Grant. Tetra Tech ARD shall have the right to inspect documents related to the performance of the project and to require additional explanations and information from the Grantee. Tetra Tech ARD agrees to conduct the site visits in a manner that does not impede the day-to-day operation of the Grantee, and minimize unjustified suspension of project performance.

The Grantee shall submit to the CELI-Central DC&G, an original and two copies of the “Federal Tax Reporting,” on March 15 and October 15 of each grant implementation year. The report shall be identified by the award number and shall state the total amount of VAT reimbursement for the reporting period, even if the amount is zero. This is required whenever any one procurement element exceeds \$500. (Please note the deadlines as per the webpage available through the DC&G) The Recipient shall submit to the CELI-Central DC&G an original and two copies of the Contribution Table form when submitting the final RFR and Finance Report of the grant agreement. Each Contribution Table shall be identified by the award number and shall state the total costs shared during the reporting period.

The authorized USAID geographic code for this agreement is **[Insert contract geo code]**. The Grantee shall not make any procurement from any one vendor for greater than \$5,000.

By accepting this grant the **[Insert name of Grantee]** agrees to:

1. Document that reasonable steps were taken to ensure that all purchases charged to the grant are at reasonable prices and from responsible sources;

2. Maintain complete records of all costs charged to the grant for a period of three years after the expiration of the grant and make such records available to CELI-Central or its representatives for review at any time; and
3. At CELI-Central's request, refund to CELI-Central any funds received from CELI-Central that represent reimbursement for any costs determined by CELI-Central not to meet the terms and conditions of this grant.

The Grantee will be required to follow CELI-Central Branding and Marking Plan approved by USAID.

USAID nor CELI-Central will not assume liability for any third party claims for damages arising out of this grant. CELI-Central may terminate this grant upon 30 days written notice.

Prohibition against Support for Terrorism

The Grantee is reminded that U.S. Executive Order and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with the Executive Orders and laws. This provision must be included in all subcontracts/subawards.

One of the applicable orders is Executive Order 13224, dated September 24, 2001, updated as Revision 2 in AAPD 04-14. The website of the Office of Foreign Assets Control (OFAC) of the Department of Treasury contains the text of that order and a list of the individuals and entities designated there under. It also contains lists of individuals and entities designated under other anti-terrorism statutes, regulations, and Executive Orders. See <http://www.treasury.gov/offices/enforcement/ofac/sdn/>.

Tetra Tech ARD/USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

Tetra Tech ARD may unilaterally terminate the grant in whole or part, or suspend payments, if there is reasonable cause to believe that the Grantee is or will be insolvent during grant performance, if funding under USAID contract 514-C-11-00002 is no longer available or under extraordinary circumstances

This grant is authorized in accordance with the Foreign Assistance Act of 1961, as amended. This award is made in accordance with 22 CFR 226, OMB Circulars, and USAID Automated Directives System (ADS) applicable sections and the Mandatory Standard Provisions, in particular Chapter 303. Funding for this activity is provided under USAID contract no. 514-C-11-00002.

USAID may unilaterally terminate or suspend this award in whole or part on an immediate basis because such assistance is deemed not in U.S. national interest, in violation of an applicable law, or other extreme circumstance.

Please sign the original and each copy of this grant agreement to acknowledge your receipt and return the original to the CELI-Central DC&G.

Sincerely yours,

{COP Name}

Chief of Party
Tetra Tech ARD

Attachments:

1. Project Description and Budget
2. Financial Reporting Requirements
3. Program Performance Reporting Requirements
4. Applicable Mandatory Standard Provisions

ACKNOWLEDGED:

[Name of Organization]

By: _____

Title _____

Date: _____

ATTACHMENT 1: PROJECT DESCRIPTION AND BUDGET

[To be inserted]

ATTACHMENT 2: FINANCIAL REPORTING REQUIREMENTS

[To be inserted]

ATTACHMENT 3: PROGRAM PERFORMANCE REPORTING REQUIREMENTS

[To be inserted]

ATTACHMENT 4: APPLICABLE MANDATORY STANDARD PROVISIONS

Debarment, Suspension, and Other Responsibility Matters (January 2004)¹

1. The Recipient agrees to notify the COP immediately upon learning that it or any of its principals:
 - a) Are presently excluded or disqualified from covered transactions by any Federal department or agency;
 - b) Have been convicted within the three-years period preceding this proposal been of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
 - c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and
 - d) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.
2. The Recipient agrees that, unless authorized by the COP, it will not knowingly enter into any sub-agreements or contracts under this Grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The Recipient further agrees to include the following provision in any sub-agreements or contracts entered into under this award:

Debarment, Suspension, Ineligibility, and Voluntary Exclusion (December 2003)

The Recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

1. The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

DRUG-FREE WORKPLACE (JANUARY 2004)¹

1. The Recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must:
 - (a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 - (b) Specify the actions the Recipient will take against employees for violating that prohibition; and
 - (c) Let each employee know that, as a condition of employment under any award, he or she:
 - i. Must abide by the terms of the statement; and
 - ii. Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
2. The Recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about:
 - (a) The dangers of drug abuse in the workplace;
 - (b) Your policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
3. Without the COP's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
4. The Recipient agrees to immediately notify the COP if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, and the number of each award on which the employee worked. The notification must be sent to the COP within ten calendar days after the Recipient learns of the conviction.
5. Within 30 calendar days of learning about an employee's conviction, the Recipient must either:
 - (a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended; or
 - (b) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
6. The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

Disability Policy (December 2004)²

1. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

² This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-17.

people with disabilities. The full text of the policy paper can be found at the following website:
<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

2. USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction (September 2004)¹

1. One of the objectives of the USAID Disability Policy is to engage other U.S. government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities. As part of this policy, USAID has established standards for any new or renovation construction project funded by USAID to allow access by people with disabilities (PWDs). The full text of the policy paper can be found at the following website: http://www.usaid.gov/about/disability/financed_construction.html.
2. USAID requires the recipient to comply with standards of accessibility for people with disabilities in all structures, buildings, or facilities resulting from new or renovation construction or alterations of an existing structure.
3. The recipient will comply with the host country or regional standards for accessibility in construction when such standards result in at least substantially equivalent accessibility and usability as the standard provided in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) Accessibility Guidelines of July 2004. Where there are no host country or regional standards for universal access or where the host country or regional standards fail to meet the ADA/ABA threshold, the standard prescribed in the ADA and the ABA will be used.
4. New Construction. All new construction will comply with the above standards for accessibility.
5. Alterations. Changes to an existing structure that affect, or could affect, the usability of the structure will comply with the above standards for accessibility unless the recipient obtains the Agreement Officer's advance approval that compliance is technically infeasible or constitutes an undue burden or both. Compliance is technically infeasible where structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features that are in full and strict compliance with the minimum requirements of the standard. Compliance is an undue burden where it entails either a significant difficulty or expense or both.
6. Exceptions. The following construction related activities are excepted from the requirements of paragraphs 1 through 4 above: (1) Normal maintenance, re-roofing, painting or wallpapering, or changes to mechanical or electrical systems are not alterations and the above standards do not apply unless they affect the accessibility of the building or facility; and (2) emergency construction (which may entail the provision of plastic sheeting or tents, minor repair and upgrading of existing structures, rebuilding of part of existing structures, or provision of temporary structures) intended to be temporary in nature. A portion of emergency construction assistance may be provided to people with disabilities as part of the process of identifying disaster- and crisis-affected people as "most vulnerable."

¹ This provision is included in the Fixed Obligation grant agreement in accordance with AAPD 05-07.

ANNEX K: FIXED OBLIGATION GRANT FORM

FIXED OBLIGATION GRANT AGREEMENT (FOG)

[Insert date]

[Insert grant no.]

[Insert grant title]

Between:

Tetra Tech ARD

and

[Insert name of the organizations responsible party]

[Name of Organization]

[Address]

Dear Mr./Ms. [Insert last name from the above name],

In response to your request for assistance dated [Insert received date of application] Tetra Tech ARD, implementer of the Consolidated and Enhanced Livelihood Initiative – Central Region Program in [host country] (hereinafter referred to as “CELI-Central” is pleased to award to the [Grantee] (hereinafter referred to as “Grantee”) this Fixed Obligation Grant (FOG) in the amount not to exceed USD\$ [Insert amount in number] ([Insert amount in words]) U.S. Dollars) as a contribution to your program to “[Insert project title]” as described in Attachment 1, entitled ‘Project Description,’ during the period [Insert start date] to [Insert end date]. CELI-Central understands that the Grantee will contribute goods and services valued at approximately [Insert contribution in \$] to the program. [Use only when there is a cost share match.]

The accomplishment of each milestone will be based on the completion of the tasks and successful submittal or completion of the milestones indicated below.

Milestone A:

Cost: [Insert amount from Financial Plan and Activity Plan]

Output: [Insert milestone accomplishment per the Activity Plan]

Verification: [Insert documentation needed for verification per Activity Plan]

[Repeat as many milestones as necessary]

Milestone B:

Cost: [Insert amount from Financial Plan and Activity Plan]

Output: [Insert milestone accomplishment per the Activity Plan]

Verification: [Insert documentation needed for verification per Activity Plan]

[Repeat as many milestones as necessary]

Milestone C:

Cost: [Insert amount from Financial Plan and Activity Plan]

Output: [Insert milestone accomplishment per the Activity Plan]

Verification: [Insert documentation needed for verification per Activity Plan]

[Repeat as many milestones as necessary]

Additionally, this grant is made to the Grantee on condition that the Grantee adheres to the Mandatory Standard and Special Provisions prescribed in Attachment 4 entitled “Applicable Mandatory Standard and Special Provisions.”

{When reimbursement method is used, use this paragraph and delete the paragraph below} Payment shall be made by reimbursement following CELI-Central verification that the activities and/or outputs stated in the above Milestones have been satisfactorily completed. Additionally, the Grantee must certify in writing to the CELI-Central DC&G at the end of the grant period that the activities and/or outputs stated above were completed. If the Grantee cannot certify, it shall be expected to make appropriate reimbursements to CELI-Central.

{When advances are used, use this paragraph and delete the paragraph above} The Grantee shall submit to the CELI-Central DC&G, an original and two copies of the “Request for Advance/Reimbursement-FOG and Financial Report-FOG” and “Grantee Bank Account Reconciliation.” Payment shall be made to the Grantee in advance installments and Tetra Tech ARD’s DC&G will determine the applicable method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.

The financial report is the basis upon which payments of the grant amount under this agreement shall be calculated and paid. The disbursement will be based on the following:

- a) Grantee has demonstrated effective control over and accountability for all funds, property, and other assets. Grantee shall adequately safeguard all such assets and assure they are used solely for the authorized purpose.
- b) The request for payment shall include a certification signed by an authorized representative of the Grantee as follows:

'The undersigned hereby certifies: a) that the above amount for expenses represents the best estimate of funds needed for the disbursements to be incurred over the period described; b) that payment of the sum claimed as total spent in this request is proper and due and that all funds provided by Tetra Tech ARD have been used solely for the purposes described in the Grant Agreement and in accordance with all of the terms and conditions therein; c) that appropriate refund or credit to the Grant will be made in the event of a disallowance in accordance with the terms of the Grant, for nonperformance in whole or in part under this Grant, in the event funds are not expended, and that any interest exceeding \$250 per year accrued on the funds made available herein will be refunded to Tetra Tech ARD; d) that information in the financial report is correct and any detailed supporting information as the Grantor may require will be furnished by the Grantee promptly upon request; and, e) that all requirements called for by the Grant Agreement have been met up to the date of this certification.'

By:
Name:
Title:
Date:

The Grantee will present all the reports to the Tetra Tech ARD Director of Contracts and Grants. Through its authorized representative(s), Tetra Tech ARD shall have the right, at all reasonable times, to inspect or otherwise evaluate the work being performed as a result of receipt of the Grant funds by conducting site visits, or in other ways assessing the work being performed as a result of the Grant. Tetra Tech ARD shall have the right to inspect documents related to the performance of the project and to require additional explanations and information from the

Grantee. Tetra Tech ARD agrees to conduct the site visits in a manner that does not impede the day-to-day operation of the Grantee, and minimize unjustified suspension of project performance.

The authorized USAID geographic code for this agreement is **[Insert contract geo code]**. The Grantee shall not make any procurement from any one vendor for greater than \$5,000.

By accepting this grant the **[Insert name of Grantee]** agrees to:

1. Document that reasonable steps were taken to ensure that all purchases charged to the grant are at reasonable prices and from responsible sources;
2. Maintain complete records of all costs charged to the grant for a period of three years after the expiration of the grant and make such records available to CELI-Central or its representatives for review at any time; and
3. At CELI-Central's request, refund to CELI-Central any funds received from CELI-Central that represent reimbursement for any costs determined by CELI-Central not to meet the terms and conditions of this grant.

The Grantee will be required to follow CELI-Central Branding and Marking Plan approved by USAID.

USAID nor CELI-Central will not assume liability for any third party claims for damages arising out of this grant. CELI-Central may terminate this grant upon 30 days written notice.

Prohibition against Support for Terrorism

The Grantee is reminded that U.S. Executive Order and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with the Executive Orders and laws. This provision must be included in all subcontracts/subawards.

One of the applicable orders is Executive Order 13224, dated September 24, 2001, updated as Revision 2 in AAPD 04-14. The website of the Office of Foreign Assets Control (OFAC) of the Department of Treasury contains the text of that order and a list of the individuals and entities designated there under. It also contains lists of individuals and entities designated under other anti-terrorism statutes, regulations, and Executive Orders. See <http://www.treasury.gov/offices/enforcement/ofac/sdn/>.

Tetra Tech ARD/USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

Tetra Tech ARD may unilaterally terminate the grant in whole or part, or suspend payments, if there is reasonable cause to believe that the grantee is or will be insolvent during grant performance, if funding under USAID contract 514-C-11-00002 is no longer available or under extraordinary circumstances.

This grant is authorized in accordance with the Foreign Assistance Act of 1961, as amended. This award is made in accordance with 22 CFR 226, OMB Circulars, and USAID Automated Directives System (ADS) applicable sections and the Mandatory Standard Provisions, in particular Chapter 303. Funding for this activity is provided under USAID contract 514-C-11-00002.

USAID may unilaterally terminate or suspend this award in whole or part on an immediate basis because such assistance is deemed not in U.S. national interest, in violation of an applicable law, or other extreme circumstance.

Please sign the original and each copy of this grant agreement to acknowledge your receipt and return the original to the CELI-Central DC&G.

Sincerely yours,

{COP Name}

Chief of Party
Tetra Tech ARD

Attachment:

1. Project Description and Budget
2. Financial Reporting Requirements
3. Program Reporting Requirements
4. Applicable Mandatory Standard Provisions

ACKNOWLEDGED:

[Insert name of Grantee]

By: _____

Title _____

Date: _____

ATTACHMENT1: PROJECT DESCRIPTION AND BUDGET

[To be inserted]

ATTACHMENT 2: FINANCIAL REPORTING REQUIREMENTS

[To be inserted]

ATTACHMENT 3: PROGRAM PERFORMANCE REPORTING REQUIREMENTS

[To be inserted]

ATTACHMENT 4: APPLICABLE MANDATORY STANDARD PROVISIONS

Debarment, Suspension, and Other Responsibility Matters (January 2004)¹

3. The Recipient agrees to notify the COP immediately upon learning that it or any of its principals:
 - (a) Are presently excluded or disqualified from covered transactions by any Federal department or agency;
 - (b) Have been convicted within the three-years period preceding this proposal of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
 - (c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and
 - (d) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.
4. The Recipient agrees that, unless authorized by the COP, it will not knowingly enter into any sub-agreements or contracts under this Grant with a person or entity that is included on the Excluded

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

Parties List System (<http://epls.arnet.gov>). The Recipient further agrees to include the following provision in any sub-agreements or contracts entered into under this award:

Debarment, Suspension, Ineligibility, and Voluntary Exclusion (December 2003)

The Recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

2. The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

DRUG-FREE WORKPLACE (JANUARY 2004)¹

7. The Recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must:
 - (a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 - (b) Specify the actions the Recipient will take against employees for violating that prohibition; and
 - (c) Let each employee know that, as a condition of employment under any award, he or she:
 - i. Must abide by the terms of the statement; and
 - ii. Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
8. The Recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about:
 - (a) The dangers of drug abuse in the workplace;
 - (b) Your policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
9. Without the COP's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
10. The Recipient agrees to immediately notify the COP if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, and the number of each award on which the employee worked. The notification must be sent to the COP within ten calendar days after the Recipient learns of the conviction.
11. Within 30 calendar days of learning about an employee's conviction, the Recipient must either:
 - (a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended; or
 - (b) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
12. The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

Disability Policy (December 2004)¹

3. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
4. USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction (September 2004)²

1. One of the objectives of the USAID Disability Policy is to engage other U.S. government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities. As part of this policy, USAID has established standards for any new or renovation construction project funded by USAID to allow access by people with disabilities (PWDs). The full text of the policy paper can be found at the following website: http://www.usaid.gov/about/disability/financed_construction.html.
2. USAID requires the recipient to comply with standards of accessibility for people with disabilities in all structures, buildings, or facilities resulting from new or renovation construction or alterations of an existing structure.
3. The recipient will comply with the host country or regional standards for accessibility in construction when such standards result in at least substantially equivalent accessibility and usability as the standard provided in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) Accessibility Guidelines of July 2004. Where there are no host country or regional standards for universal access or where the host country or regional standards fail to meet the ADA/ABA threshold, the standard prescribed in the ADA and the ABA will be used.
4. New Construction. All new construction will comply with the above standards for accessibility.
5. Alterations. Changes to an existing structure that affect, or could affect, the usability of the structure will comply with the above standards for accessibility unless the recipient obtains the Agreement Officer's advance approval that compliance is technically infeasible or constitutes an undue burden or both. Compliance is technically infeasible where structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-17.

² This provision is included in the Fixed Obligation grant agreement in accordance with AAPD 05-07.

that are in full and strict compliance with the minimum requirements of the standard. Compliance is an undue burden where it entails either a significant difficulty or expense or both.

6. Exceptions. The following construction related activities are excepted from the requirements of paragraphs 1 through 4 above: (1) Normal maintenance, re-roofing, painting or wallpapering, or changes to mechanical or electrical systems are not alterations and the above standards do not apply unless they affect the accessibility of the building or facility; and (2) emergency construction (which may entail the provision of plastic sheeting or tents, minor repair and upgrading of existing structures, rebuilding of part of existing structures, or provision of temporary structures) intended to be temporary in nature. A portion of emergency construction assistance may be provided to people with disabilities as part of the process of identifying disaster- and crisis-affected people as "most vulnerable."

ANNEX L: STANDARD GRANT FORMAT

STANDARD GRANT AGREEMENT (SG)

[Insert date]

[Insert grant no.]

[Insert grant title]

Between:

Tetra Tech ARD

and

[Insert name of Grantee's responsible party]

[Grantee name]

[Address]

Dear Mr./Ms. [Insert last name from the above name],

In response to your request for assistance dated [Insert received date of application] Tetra Tech ARD, implementer of the Consolidation and Enhanced Livelihood Initiative-Central Region Program in Colombia (hereinafter referred to as "CELI-Central" is pleased to award to the [Grantee name] (hereinafter referred to as "Grantee") this standard grant in the amount not to exceed USD\$ {Insert amount in number} ({Insert amount in words}) U.S. Dollars) as a contribution to your program to "[Insert project title]" as described in Attachment 2, entitled 'Project Description,' during the period [Insert start date] to [Insert end date]. CELI-Central understands that the Grantee will contribute goods and services valued at approximately [Insert contribution in \$] to the program. [Use only when there is a cost share match.]

This agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Grantee in furtherance of project objectives during the period beginning with the effective date and ending [Insert end date]. Tetra Tech ARD shall not be liable for reimbursing the Grantee for any costs in excess of the obligated amount

This agreement is made to the [Insert name of Grantee] on condition that the funds will be administered in accordance with the terms and conditions as set forth in Attachment 1, entitled "Schedule;" Attachment 2, entitled "Project Description;" Attachment, 3 entitled "Standard Provisions;" Attachment 4, entitled "Financial Reporting Requirements;" and Attachment 5, entitled "Project Performance Reporting."

The Grantee will be required to follow CELI-Central Branding and Marking Plan approved by USAID.

USAID nor CELI-Central will not assume liability for any third party claims for damages arising out of this grant. CELI-Central may terminate this grant upon 30 days written notice.

Prohibition against Support for Terrorism

The Grantee is reminded that U.S. Executive Order and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with the Executive Orders and laws. This provision must be included in all subcontracts/subawards.

One of the applicable orders is Executive Order 13224, dated September 24, 2001, updated as Revision 2 in AAPD 04-14. The website of the Office of Foreign Assets Control (OFAC) of the Department of Treasury contains the text of that order and a list of the individuals and entities designated there under. It also contains lists of individuals and entities designated under other anti-terrorism statutes, regulations, and Executive Orders. See <http://www.treasury.gov/offices/enforcement/ofac/sdn/>.

Tetra Tech ARD/USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

Tetra Tech ARD may unilaterally terminate the grant in whole or part, or suspend payments, if there is reasonable cause to believe that the grantee is or will be insolvent during grant performance, if funding under USAID contract 514-C-11-00002 is no longer available or under extraordinary circumstances.

This grant is authorized in accordance with the Foreign Assistance Act of 1961, as amended. This award is made in accordance with 22 CFR 226, OMB Circulars, and USAID Automated Directives System (ADS) applicable sections and the Mandatory Standard Provisions, in particular Chapter 303. Funding for this activity is provided under USAID contract 514-C-11-00002.

USAID may unilaterally terminate or suspend this award in whole or part on an immediate basis because such assistance is deemed not in U.S. national interest, in violation of an applicable law or other extreme circumstance.

Please sign the original and each copy of this grant agreement to acknowledge your receipt and return the original to the CELI-Central DC&G.

Sincerely yours,

{COP name}

Chief of Party

Tetra Tech ARD

Attachments:

1. Schedule
2. Project Description with Budget
3. Mandatory Standard Provisions-U.S. Non-governmental Recipients
4. Financial Reporting Requirements and Payment Forms
5. Project Performance Reporting
6. Appropriate Certifications (Pre-Award)
 - Self Certification
 - Certification regarding Terrorist Financing
 - Certification regarding Lobbying
7. Tax Reporting Form

ATTACHMENT 1: SCHEDULE

{Insert with the following main categories}

A: Purpose of Agreement

The Purpose of this Agreement is to support the program described in Attachment 2 of this Agreement, entitled “Project Description.” **{add brief statement since there is a reference to Attachment 2}**

B: Period of Agreement

1. The effective date of this Agreement is **[Insert start date]**. The estimated completion date of this Agreement is **[Insert end date]**.

C: Amount of Award and Payment

1. The total amount of this Award for the period shown in B.1 above is **[Insert amount in word and number]**.
2. Tetra Tech ARD hereby obligates the amount of **[Insert grant award amount]** for project expenditures during the period set forth in B.2.above and as shown in the Budget below. The Grantee will be given written notice by the Tetra Tech ARD COP if additional funds will be added. Tetra Tech ARD is not obligated to reimburse the Grantee for the expenditure of amounts in excess of the total obligated amount.
3. Payment shall be made to the Grantee in advance installments and Tetra Tech ARD's DC&G will determine the applicable method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.

The financial report is the basis upon which payments of the grant amount under this agreement shall be calculated and paid. The disbursement will be based on the following:

- a) Grantee has demonstrated effective control over and accountability for all funds, property, and other assets. Grantee shall adequately safeguard all such assets and assure they are used solely for the authorized purpose.
- b) The request for payment shall include a certification signed by an authorized representative of the Grantee as follows:

'The undersigned hereby certifies: a) that the above amount for expenses represents the best estimate of funds needed for the disbursements to be incurred over the period described; b) that payment of the sum claimed as total spent in this request is proper and due and that all funds provided by Tetra Tech ARD have been used solely for the purposes described in the Grant Agreement and in accordance with all of the terms and conditions therein; c) that appropriate refund or credit to the Grant will be made in the event of a disallowance in accordance with the terms of the Grant, for nonperformance in whole or in part under this Grant, in the event funds are not expended, and that any interest exceeding \$250 per year accrued on the funds made available herein will be refunded to Tetra Tech ARD; d) that information in the financial report is correct and any detailed supporting information as the Grantor may require will be furnished by the Grantee promptly upon request; and, e) that all requirements called for by the Grant Agreement have been met up to the date of this certification.'

By:
Name:
Title:
Date:

The Grantee will present all the reports to the Tetra Tech ARD Director of Contracts and Grants. Through its authorized representative(s), Tetra Tech ARD shall have the right, at all reasonable times, to inspect or otherwise evaluate the work being performed as a result of receipt of the Grant funds by conducting site visits, or in other ways assessing the work being performed as a result of the Grant. Tetra Tech ARD shall have the right to inspect documents related to the

performance of the project and to require additional explanations and information from the Grantee. Tetra Tech ARD agrees to conduct the site visits in a manner that does not impede the day-to-day operation of the Grantee, and minimize unjustified suspension of project performance.

D: Budget

The following is the approved budget. Revisions to this budget shall be made in accordance with 22 CFR 226.25.

[Insert the budget here]

E: Reporting and Evaluation

E.1: Financial Reporting

On a monthly basis, the Grantee shall submit one original and one copy of all required forms found in Attachment 4 to Tetra Tech ARD DC&G at: **[CELI-Central and address]**. Financial Reports shall be in keeping with the appropriate payment option listed in Attachment 3 entitled “Standard Provisions.”

E.2: Project Performance Reporting

The Grantee shall submit performance reports based on the following schedule:

Initial Report Due: **[Insert date]**

Interim Report Due: **[Insert date]**

Final Report Due: **[Insert date]**

The Attachment 5 entitled “Project Performance Reporting” further describes the objective and contents of project performance reporting.

E.3: Final Report

The Grantee shall, within 30 days following the completion of the award, submit one original and one copy of all financial, performance, and other reports as required by the terms and conditions of this award to Tetra Tech ARD DC&G at: **[CELI-Central and address]**

E.4: Monitoring and Evaluation Reporting

The Grantee accepts obligation to implement and execute all the activities included in Attachment 5 entitled “Project Performance Reporting.”

E.5: Environmental Plan Reporting

The Grantee accepts his obligation to implement and execute all the activities included in its “Environmental Management Plan” (if applicable) which is incorporated herein by reference and has been approved by USAID. The Grantee will also be responsible for assuring the correct implementation of this Environmental Management Plan and Tetra Tech ARD, on its own behalf, will assume the tasks necessary to carry out the field verification.

F: Standard Provisions

[Note - Use this paragraph to delete inapplicable Standard Provisions or to add provisions of special applicability as authorized (Mission-specific). Included should be waivers, including authorized local cost financing, and any alterations to the Standard Provisions or 22 CFR 226, which have been approved as deviations for the specific award. The term “USAID” should be replaced by “Tetra Tech ARD” except when the term “USAID” refers to a specific USAID policy or procedure. The term “Agreement Officer” should be replaced by Tetra Tech ARD Director of Contracts and Grants.]

The applicable Mandatory Standard Provision for Non-U.S. non-governmental organization (NGO) referred to Attachment 3, which references the following USAID web-link:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>

G: Indirect Cost Rate

[Note - Establish the applicable indirect cost rate(s), base(s) on which they apply, and the Grantee's accounting period(s) they cover, as provided in the appropriate Standard Provision. If an Indirect Cost Rate Agreement has been executed by USAID or a cognizant Federal agency, such rate(s) are required to be incorporated herein if such costs are covered by the grant. The most current overhead information should be obtained from the Overhead and Special Costs and Contract Close-Out Branch (M/OP/PS/OCC).]

H: Title to Property

Purchase of non-expendable equipment (has life of one year or more and unit cost equal to or greater than \$5000 USD) requires specific advance written authorization by the DC&G. The Grantee will have the title to all the property financed by this grant. The Grantee will use and conserve the property for the purposes specified in the project awarded with the grant, according to the Standard Provisions “Title to and Use of Property (Recipient Title: \$50,000 and Under)” or if applicable, Standard Provisions “Title to and Use of Property (Recipient Title: \$50,000 and Over).”

The Grantee will provide Tetra Tech ARD with a complete list of all non-expendable property, its location and condition until the end of the grant period.

I: Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this grant is **[Insert Project's Geographic Code]**.

J: Cost Sharing

The Grantee agrees to expend an amount not less than **[Insert agreed percentage]** of the total activity costs.

K: Program Income

For awards with U.S. or Non-U.S. Organizations, which may generate Program Income, the following applies:

- The Grantee shall account for Program Income in accordance with the Standard Provision entitled Program Income.
- Program Income earned under this award shall be applied and used as follows: **[Note – the COP, DC&G and the Technical Manager must decide how Program Income will be applied:**
 1. added to the Project;
 2. used to finance the non-Federal share; or
 3. deducted from the total Federal share.]

L: Audit Requirement

1. The Grantee's accounting and financial management systems shall meet the requirements specified in the attached "Mandatory Standard Provisions for Non-U.S. Nongovernmental Grantees, number 2. Accounting, Audit, and Records."
2. The Grantee shall maintain financial records, including receipts, time reports, and other accounting documentation to sufficiently substantiate its charges to Tetra Tech ARD and to allow for an accounting of Tetra Tech ARD Grant project costs separate from costs funded by other sources and the ability to report accordingly. All financial records and documentation shall be kept available for three years after completion of this Grant.
3. The Grantee shall make all project-related financial records available for examination by Tetra Tech ARD or its authorized representatives.

M: Prohibition on Transactions with Terrorists

The Grantee is reminded that United States Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Grantee to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this Grant.

N: Narcotic Offenses

USAID reserves the right to terminate this Agreement, to demand a refund, or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

O: Language

In the event of inconsistency between any terms of this grant agreement and any translation into another language, the English language version shall control.

P: Foreign Tax Reporting Requirement

- a) Quarterly and Annual Reporting. The Grantee must quarterly submit the "Federal Tax Reporting" form, Attachment 6. The annual report must be submitted on or before October 31 for each foreign country on the amount of foreign taxes charged, as of September 30 of the same year, by a foreign government on commodity purchase transactions valued at USD500 or more financed with U.S. foreign assistance funds under this contract during the prior U.S. fiscal year, and the amount reimbursed by the foreign government. Reports are required even if the Grantee did not pay any taxes during the reporting period.
- b) Terms. For the purpose of this clause:
 - i. "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements;
 - ii. "Commodity" means any material, article, supplies, goods, or equipment;
 - iii. "Foreign government" includes any foreign government entity;
 - iv. "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.
- c) Where. Submit the reports to Tetra Tech ARD DC&G at:

[CELI-Central and address]

- d) Contents of Report. The reports must contain:
- i. Grantee name.
 - ii. Contact name with phone, fax and email.
 - iii. Grant number(s).
 - iv. Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year.
 - v. Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).
 - vi. Any reimbursements received by the Grantee during the period in (iv) regardless of when the foreign tax was assessed.
 - vii. Reports are required even if the Grantee did not pay any taxes during the report period.
- e) Subagreements. The Grantee must include this reporting requirement in all applicable subcontracts, subgrants, and other subagreements.
- f) For further information see <http://www.state.gov/m/rm/c10443.htm>.

Q: USAID-Approved Marking Provision

First and foremost, the Grantee will adhere to CELI-Central Branding and Marking Plan approved by USAID.

As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.

Any "public communications," as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of **[Insert name of Grantee]** and do not necessarily reflect the views of USAID or the United States Government."

ATTACHMENT 2: PROJECT DESCRIPTION AND BUDGET

{Insert}

Project Description:

Project justification:

Project objective:

Beneficiaries:

Budget:

ATTACHMENT 3: STANDARD PROVISIONS

The applicable Mandatory Standard Provision for Non-U.S. NGO is provided in the following USAID web-link: <http://www.usaid.gov/policy/ads/300/303mab.pdf> and for U.S. NGOs <http://www.usaid.gov/policy/ads/300/303maa.pdf>.

The following applicable standard provisions apply to this grant:

Debarment, Suspension, and Other Responsibility Matters (January 2004)¹

1. The Recipient agrees to notify the COP immediately upon learning that it or any of its principals:
 - a) Are presently excluded or disqualified from covered transactions by any Federal department or agency;
 - b) Have been convicted within the three-years period preceding this proposal of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
 - c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and
 - d) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.
2. The Recipient agrees that, unless authorized by the COP, it will not knowingly enter into any sub-agreements or contracts under this Grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The Recipient further agrees to include the following provision in any sub-agreements or contracts entered into under this award:

Debarment, Suspension, Ineligibility, and Voluntary Exclusion (December 2003)

The Recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

1. The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

DRUG-FREE WORKPLACE (JANUARY 2004)²

1. The Recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must:
 - a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 - b) Specify the actions the Recipient will take against employees for violating that prohibition; and
 - c) Let each employee know that, as a condition of employment under any award, he or she:
 - i. Must abide by the terms of the statement; and

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

² This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-03.

- ii. Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
2. The Recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about:
 - (a) The dangers of drug abuse in the workplace;
 - (b) Your policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
3. Without the COP's expressed written approval, the policy statement and program must be in place as soon as possible, no later than 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
4. The Recipient agrees to immediately notify the COP if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, and the number of each award on which the employee worked. The notification must be sent to the COP within ten calendar days after the Recipient learns of the conviction.
5. Within 30 calendar days of learning about an employee's conviction, the Recipient must either:
 - (a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended; or
 - (b) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
6. The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

Disability Policy (December 2004)¹

1. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
2. USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

¹ This Mandatory Standard Provision is included in the simplified grant agreement in accordance with AAPD 04-17.

Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction (September 2004)¹

1. One of the objectives of the USAID Disability Policy is to engage other U.S. government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities. As part of this policy, USAID has established standards for any new or renovation construction project funded by USAID to allow access by people with disabilities (PWDs). The full text of the policy paper can be found at the following website: http://www.usaid.gov/about/disability/financed_construction.html.
2. USAID requires the recipient to comply with standards of accessibility for people with disabilities in all structures, buildings, or facilities resulting from new or renovation construction or alterations of an existing structure.
3. The recipient will comply with the host country or regional standards for accessibility in construction when such standards result in at least substantially equivalent accessibility and usability as the standard provided in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) Accessibility Guidelines of July 2004. Where there are no host country or regional standards for universal access or where the host country or regional standards fail to meet the ADA/ABA threshold, the standard prescribed in the ADA and the ABA will be used.
4. New Construction. All new construction will comply with the above standards for accessibility.
5. Alterations. Changes to an existing structure that affect, or could affect, the usability of the structure will comply with the above standards for accessibility unless the recipient obtains the Agreement Officer's advance approval that compliance is technically infeasible or constitutes an undue burden or both. Compliance is technically infeasible where structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features that are in full and strict compliance with the minimum requirements of the standard. Compliance is an undue burden where it entails either a significant difficulty or expense or both.
6. Exceptions. The following construction related activities are excepted from the requirements of paragraphs 1 through 4 above: (1) Normal maintenance, re-roofing, painting or wallpapering, or changes to mechanical or electrical systems are not alterations and the above standards do not apply unless they affect the accessibility of the building or facility; and (2) emergency construction (which may entail the provision of plastic sheeting or tents, minor repair and upgrading of existing structures, rebuilding of part of existing structures, or provision of temporary structures) intended to be temporary in nature. A portion of emergency construction assistance may be provided to people with disabilities as part of the process of identifying disaster- and crisis-affected people as "most vulnerable."

ATTACHMENT 4: FINANCIAL REPORTING REQUIREMENTS

[To be inserted by CELI-CENTRAL with grant-specific information]

ATTACHMENT 5: PROGRAM PERFORMANCE REPORTING

[To be inserted by CELI-CENTRAL with grant-specific information.]

ATTACHMENT 6: FEDERAL TAX REPORTING FORM

[To be inserted by CELI-CENTRAL with grant-specific information.]

¹ This provision is included in the Fixed Obligation grant agreement in accordance with AAPD 05-07.

ANNEX M: GRANTEE FILE CHECKLIST FORM

FILE CONTENTS CHECKLIST

To ensure CELI-Central has completed all the required steps in the grant award process and that all documentation has been obtained and is on file, the DC&G will attach numbers 1 -15 of this checklist to all draft grant agreements prior to forwarding the agreement to the COP for final approval.

<input type="checkbox"/>	1. Requests for Applications/Annual Program Statements ¹
<input type="checkbox"/>	2. Concept Paper
<input type="checkbox"/>	3. Concept Paper Evaluation Form
<input type="checkbox"/>	4. Grant Application/Proposal with Budget
<input type="checkbox"/>	5. Grant Application/Proposal Evaluation Form
<input type="checkbox"/>	6. Pre-award Surveys along with organizational documentation (SPAS or PARD)
<input type="checkbox"/>	7. Certification Regarding Terrorist Financing (ATC)
<input type="checkbox"/>	8. Certification of Compliance with Standard Provision entitled "Participant Certification Narcotics Offenses and Drug Trafficking"
<input type="checkbox"/>	9. Certification of Compliance with Standard Provision entitled "Key Individual Certification Narcotics Offenses"
<input type="checkbox"/>	11. Self Certification
<input type="checkbox"/>	11. Copy of EPLS with applicable organization and key individuals – no negative determination
<input type="checkbox"/>	12. Negotiation Memorandum
<input type="checkbox"/>	13. Environmental Impact Assessment or Initial Environmental Examination (approved by USAID)
<input type="checkbox"/>	14. Justifications for Exceptions to Competition (if applicable)
<input type="checkbox"/>	15. USAID Approval of the Grant (must be obtained before signing the grant)
	(STOP) If all of the above are not checked, do not move forward (STOP)
<input type="checkbox"/>	16. Signed Grant Agreement & Signed Modifications to Grant Agreement
<input type="checkbox"/>	17. Monthly/Quarterly Technical Reports
<input type="checkbox"/>	18. Monthly/Quarterly Financial Reports, including Cost Share
<input type="checkbox"/>	19. Grantee Monitoring Reports/Field Visit Reports
<input type="checkbox"/>	20. Final Technical Report
<input type="checkbox"/>	21. Final Financial Report including Cost Sharing Report
<input type="checkbox"/>	22. Foreign Tax Reporting
<input type="checkbox"/>	23. Final Evaluation
<input type="checkbox"/>	24. Audit Reports
<input type="checkbox"/>	25. Closeout Report
<input type="checkbox"/>	26. Communications
<input type="checkbox"/>	27. Certification of Completion (required for FOG but all grantees should sign)
<input type="checkbox"/>	28. Final Inventory and Disposition Instructions (Title Transfer documentations signed)

ANNEX N: FINANCIAL REPORTING FORMS AND INSTRUCTIONS FOR SIG, FOG, AND SG

- 1) **Purpose of Financial Reporting.** This Annex establishes the procedures for monitoring and reporting on the Grantee's finance status and the necessary standard reporting forms.
- 2) **Financial Reporting.** The Grantee is required to submit the following forms, which have been check marked (X) below:

	Freq	Form Ref	Form Title
<input type="checkbox"/>	M / Q	RFA/R-FOG/FR-FOG	Request for Advance/Reimbursement-FOG and Financial Report-FOG
<input type="checkbox"/>	M / Q	RFA/R-SiG/FR-SiG	Request for Advance/Reimbursement-SiG and Financial Report-SiG
<input type="checkbox"/>	M / Q	RFA/R-SG/FR-SG	Request for Advance/Reimbursement-SG and Financial Report-SG
<input type="checkbox"/>	M / Q	GBAR	Grantee Bank Account Reconciliation
<input type="checkbox"/>	M / Q	CSR	Cost Share Reporting
<input type="checkbox"/>	M / Q	FTR	Federal Tax Reporting (Not required with FOG Grants)
<input type="checkbox"/>	M / Q		

M equals Monthly Reporting Requirement. Q equals Quarterly Reporting Requirement.

Copies of original supporting documentation that supports the monthly Forms indicated above must be attached to each Form. The absence of such documentation could result in delay or denial of payment.

- 3) **Final Financial Report.** The final financial report is due 30 calendar days after the expiration or termination of the award.
- 4) **Accounting of Funds Received.** Originating source documentation should be maintained for each item reported on the forms that the Grantee is required to submit in accordance with paragraph 2 above. Originating source documentation (e.g., vouchers, receipts, timesheets, purchase orders, sub-grants, subcontracts, etc.) should be on file for all expenditures throughout the life of the project and for three years after the Agreement period ends.
- 5) **Notice.** This attachment does not cover all the details and possible situations which may arise. Therefore, additional consultation between you and CELI-Central may be conducted, as necessary, during the period of this Agreement. If you have any questions regarding the reimbursement of and accounting for Agreement funds, please do not hesitate to contact the CELI-Central DC&G for further information. These guidelines, supplemented by consultations, will enable CELI-Central and you to effectively monitor the financial management of this Agreement.
- 6) **Report Submission.** Grantees shall submit the original and one copy of performance reports to CELI-Central DC&G at: **[CELI-Central and address]**
- 7) **Financial Reporting Instructions.** Additional reporting instructions are provided on the following pages. Please note that the sections below are relevant to the Grantee *only if* the appropriate box from paragraph 2 above has been check marked (X).

ANNEX O: REQUEST FOR ADVANCE/REIMBURSEMENT-FOG (RFR-FOG) AND FINANCIAL REPORT-FOG (FR-FOG)

One original copy of the RFA/R-FOG and FR-FOG forms should be submitted to the attention of the CELI-Central Director of Contracts and Grants.

The Grantee must update RFA/R-FOG and FR-FOG to reflect his/her respective program budget.

In order to adapt the form to reflect your respective program budget, you should use the Budget as shown in your Grant Agreement.

Authority to Submit Request for Advance/Reimbursement/Receive Reimbursements: Requests for Reimbursement will be accepted from the person who has acknowledged and accepted this Agreement as the legal representative on behalf of the Grantee.

Initial Advance Request (if applicable): If your organization is eligible to receive advances, the Initial Advance Request shall be made by submitting a completed “Request for Advance/Reimbursement” form with the appropriate information indicating advance request.

The Initial Advance Request will not be made until CELI-Central has been able to verify the following two items:

- CELI-Central has received environmental approval from USAID to implement this project, if such approval is necessary; and
- The Grantee provides proof of a separate bank account opened specifically for the maintenance of funds received under this grant.

Subsequent Advance Request: Reporting expenditures and requesting advances under this Agreement will typically be performed on a **monthly/quarter, choose one** basis and in no event later than quarterly. Expenditure reporting will be accomplished by submitting a completed “Financial Report-FOG” to the CELI-Central Director of Contracts and Grants.

Reporting and requesting reimbursement of expenditures under this Agreement will typically be performed based on the set milestones in the grant agreement. Expenditure reporting will be accomplished by submitting a completed “Financial Report-FOG and the Request for Advance/Reimbursement-FOG forms to the CELI-Central Director of Contracts and Grants.

CELI-CENTRAL REQUEST FOR ADVANCE/REIMBURSEMENT-FOG (RFR-FOG)

Date: *This date should reflect the date the Grantee submits the RFA/R.*

Grantee	According to grant agreement
Grant Number	According to grant agreement
Grant Title	According to grant agreement
Agreement Begin Date:	According to grant agreement or amendment
Agreement End Date:	According to grant agreement
Milestone:	Insert letter of Milestone
Milestone Start Date:	Actual date the milestone began
Milestone End Date:	Actual date the milestone was completed

Initial Advance Request (if applicable). The Initial Request for Advance shall be made by submitting a completed *Request for Advance/Reimbursement-FOG form*.

Subsequent Advance/Reimbursement Request. Reporting and Requesting additional advance and/or Reimbursement of expenditures is performed on a *{monthly/quarter, choose one}* basis. Expenditure reporting will be accomplished by submitting completed "Financial Report-FOG and RFA/R-FOG" forms to the CELI-Central Director of Contracts and Grants.

Amount requested for advance: \$ *(This is the amount to be advanced to the Grantee)*

1. This milestone was comprised of which specific tasks?

(Please state the milestone achieved against the approved milestone stated in the Grant Agreement)

2. Amount to be reimbursed *(This refers to the budgeted amounts according to the grant agreement/Detail budget):*

Milestone No. and Budgeted Amount: \$ *(this refers to the budgeted amount)*

Amount to be reimbursed: \$ *(This is the amount to be paid to the Grantee)* **Note:** *All original receipts justifying expenditures must be available in the Grantee's office.*

I certify that to the best of my knowledge the information presented is correct and complete and that all expenditures reported in the attached Financial Report are for the purposes set forth in the Grant Agreement documents. *Note: Person signing should be the person who signed the grant agreement or authorized by that person to sign and represent the organization.*

Grantee Representative Signature: _____ **Date:** _____

Print Name/Title of Authorized Signatory: _____

Technical Officer Signature _____ **Date:** _____

Print Name: _____

Director of Contracts and Grants

Signature _____ **Date:** _____

Print Name: _____

CELI-Central (See attached excel sheet)

Financial Report-FOG (FR-FOG)

Grant No.					
Grantee:		Project Title:			
Milestone:					
Grant Line Item		Total expense	Budget	Variance	Justification
Category	Items	Cost \$			
<u>1</u>					
Subtotal		\$0.00	\$0.00	0.00	
<u>2</u>					
Subtotal		\$0.00	\$0.00	0.00	
<u>3</u>					
Subtotal		\$0.00	\$0.00	0.00	
<u>4</u>					
Subtotal		\$0.00	\$0.00	0.00	
<u>5</u>					
Subtotal		\$0.00	\$0.00	0.00	
<u>6</u>					
Subtotal					
Grand Total:		\$0.00	\$0.00	0.00	

I certify that to the best of my knowledge the information presented is correct and complete and that all expenditures reported are for the purposes set forth in the Grant Agreement documents.

Accountant Signature:

Request for Reimbursement Form attached_____ Date:

ANNEX P: REQUEST FOR ADVANCE/REIMBURSEMENT-SIG (RFA/R-SIG) AND FINANCIAL REPORT-SIG (FR-SIG)

One original copy of the RFA/R-SiG and FR-SiG forms should be submitted to the attention of the CELI-Central Director of Contracts and Grants.

In order to adapt the form to reflect your respective program budget, you should use the Budget as shown in your Grant Agreement.

Copies of each original supporting document that supports this form must be attached to the form. The absence of such documentation could result in delay or denial of payment.

Authority to Submit Request for Advance/Reimbursement/Receive Reimbursements: Requests for Advance/Reimbursement will be accepted from the person who has acknowledged and accepted this Agreement as the legal representative on behalf of the Grantee.

Initial Advance Request (if applicable): If your organization is eligible to receive advances, the Initial Advance Request shall be made by submitting a completed “Request for Advance/Reimbursement” form with the appropriate information indicating advance request.

The Initial Advance Request will not be made until CELI-Central has been able to verify the following two items:

- CELI-Central has received environmental approval from USAID to implement this project, if such approval is necessary; and
- The Grantee provides proof of a separate bank account opened specifically for the maintenance of funds received under this grant.

Subsequent Advance Request: Reporting expenditures and requesting advances under this Agreement will typically be performed on a **{monthly/quarter, choose one}** basis and in no event later than quarterly. Expenditure reporting will be accomplished by submitting a completed “Financial Report-SiG” to the CELI-Central Director of Contracts and Grants.

Reporting and requesting reimbursement of expenditures under this Agreement will typically be performed on a **{monthly/quarterly, choose one}** basis and in no event later than quarterly. Expenditure reporting will be accomplished by submitting completed “Financial Report-SiG and the Request for Advance/Reimbursement-SiG” forms to the CELI-Central Director of Contracts and Grants.

CELI-CENTRAL REQUEST FOR ADVANCE/REIMBURSEMENT-SIG (RFA/R-SIG)

Date: *This date should reflect the date the Grantee submits the RFA/R.*

Grantee:	According to grant agreement
Grant Number:	According to grant agreement
Grant Title:	According to grant agreement
Agreement Begin Date:	According to grant agreement or amendment
Agreement End Date:	According to grant agreement
Reimbursement Request Number:	
Reimbursement Period Start Date:	
Reimbursement Period End Date:	

Initial Advance Request (if applicable). The Initial Request for Advance shall be made by submitting a completed *Request for Advance/Reimbursement-SiG form*.

Subsequent Advance/Reimbursement Request. Reporting and Requesting additional advance and/or Reimbursement of expenditures is performed on a *{monthly/quarter, choose one}* basis. Expenditure reporting will be accomplished by submitting completed "Financial Report-SiG and RFA/R-SiG" forms to the CELI-Central Director of Contracts and Grants.

Amount requested for advance: \$ *(This is the amount to be advanced to the Grantee)*

1. What specific tasks were accomplished during the period of time?

(Please state the tasks below as in the approved Grant Agreement)

2. Actual funds expended and the amount to be reimbursed *(This refers to actual Grantee expenditures under the grant and should match figures reported in the Financial Report. Original receipts justifying expenditures must be available in your office. All expenditures must be allowable.)*

Amount to be reimbursed: \$
Tetra Tech ARD Direct Procurement: \$

3. **Amount remaining in grant:** *(This question refers to [Total Amount of the grant] – [Total expenditures to Date including this period] = Amount remaining in Grant)*

Total amount of the Grant	\$
Grantee Expenditures to Date:	\$
CELI-Central Procurement Expenditures to Date:	\$
Amount remaining in grant:	\$

I certify that to the best of my knowledge the information presented is correct and complete and that all expenditures reported in the attached Financial Report are for the purposes set forth in the Grant Agreement documents. **Note: Person signing should be the person who signed the grant agreement or authorized by that person to sign and represent the organization.**

Grantee Representative Signature: _____ **Date:** _____

Print Name/Title of Authorized Signatory: _____

- ☐ Program Performance Reporting Attached
- ☐ Environmental Reporting Attached
- ☐ Monitoring and Evaluation Indicators Reporting Attached

Box B – For CELI-Central Use Only

1	Expenditure during this period (Taken from Box A1 above)	
2	Less (-): Unallowable Costs	
3	Less (-): Other (Describe)	
4	Subtotal	
Notes:		
<input type="checkbox"/> Approved by CELI-Central Technical Officer – Signature:		
<input type="checkbox"/> Approved by CELI-Central Director of Contracts and Grants – Signature:		
<input type="checkbox"/> Payment ON HOLD		
<input type="checkbox"/> Send to CELI-Central Accountant		

CELI-Central (See attached excel sheet)
FINANCIAL REPORT-FOG (FR-SIG)

Grant No.:		Project Title:			
Grantee:					
Grant Line Item		Total Budget	Amount Expended this period	Total Amount Expended to date	Amount remaining in Budget
Category	Items	Cost \$			
<u>1</u>					
<u>2</u>					
<u>3</u>					
<u>4</u>					
<u>5</u>					
Subtotal					
<u>Direct Procurement</u>					
Subtotal					
Grand Total:					

I certify that to the best of my knowledge the information presented is correct and complete and that all expenditures reported are for the purposes set forth in the Grant Agreement documents.

Accountant Signature:

Request for Reimbursement Form attached_____ Date:

ANNEX Q: REQUEST FOR ADVANCE/REIMBURSEMENT-SG (RFA/R-SG) AND FINANCIAL REPORT-SG (FR-SG)

One original copy of the RFA/R-SG and FR-SG forms should be submitted to the attention of the **CELI-Central** Director of Contracts and Grants.

In order to adapt the form to reflect your respective program budget, you should use the Budget as shown in your Grant Agreement.

Copies of each original supporting document that supports this form must be attached to the form. The absence of such documentation could result in delay or denial of payment.

Authority to Submit Advance Requests/Receive Advance Payments: Advance requests will be accepted from the person who has acknowledged and accepted this Agreement as the legal representative on behalf of the Grantee.

Initial Advance Request: The Initial Advance Request shall be made by submitting a completed “Request for Advance/Reimbursement” form with the appropriate information indicating advance request.

The Initial Advance Request will not be made until CELI-Central has been able to verify the following two items:

- **CELI-Central** has received environmental approval from USAID to implement this project, if such approval is necessary; and
- The Grantee provides proof of a separate bank account opened specifically for the maintenance of funds received under this grant.

Subsequent Advance Request: Reporting expenditures and requesting advances under this Agreement will typically be performed on a **{monthly/quarter, choose one}** basis and in no event later than quarterly. Expenditure reporting will be accomplished by submitting a completed “Financial Report-SG” to the **CELI-Central** Director of Contracts and Grants.

CELI-CENTRAL REQUEST FOR ADVANCE/REIMBURSEMENT-SG (RFA/R-SG)

Date: *This date should reflect the date the Grantee submits the RFR.*

Grantee:	According to grant agreement
Grant Number:	According to grant agreement
Grant Title:	According to grant agreement
Agreement Begin Date:	According to grant agreement
Agreement End Date:	According to grant agreement or amendment
Reimbursement Request Number:	Indicate if this is the initial request, then number in sequence
Reimbursement Period Start Date:	
Reimbursement Period End Date:	

Initial Advance Request. The Initial Request for Advance shall be made by submitting a completed *Request for Advance/Reimbursement-SG form*.

Subsequent Advance/Reimbursement Request. Reporting and Requesting additional advance and/or Reimbursement of expenditures is performed on a *[monthly/quarter, choose one]* basis. Expenditure reporting will be accomplished by submitting completed "Financial Report-SG and RFA/R-SG" forms to the **CELI-Central** Director of Contracts and Grants.

1. What specific tasks were accomplished during this reporting period?

Please state the tasks in bullet points according to the approved Grant Agreement

2. Actual funds expended and the amount to be reimbursed *(This refers to actual Grantee expenditures under the grant and should match figures reported in the Financial Report)*

Amount to be reimbursed:

\$

Tetra Tech ARD procurement:

\$

3. **Amount remaining in grant:** *(This question refers to [Total Amount of the grant] – [Total expenditures to Date including this period] = Amount remaining in Grant)*

Total Approved Budget	\$
Grantee Expenditures to Date:	\$
Amount Remaining in Grant:	\$
Tetra Tech ARD Procurement Expenditures to Date:	\$
Amount remaining in grant:	\$

☐ Program Performance Reporting Attached

I certify that to the best of my knowledge the information presented is correct and complete and that all expenditures reported in the attached Financial Report are for the purposes set forth in the Grant Agreement documents.

Note: Person signing should be the person who signed the grant agreement or authorized by that person to sign and represent the organization.

Grantee Representative Signature: _____ **Date:** _____

Print Name/Title of Authorized Signatory: _____

For Tetra Tech ARD Use Only

1	Expenditure during this period (Taken from section 2. above)	
2	Less (-): Unallowable Costs	
3	Less (-): Other (Describe)	
4	Subtotal	
5	Notes: <input type="checkbox"/> Approved by CELI-Central Technical Officer –Signature: <input type="checkbox"/> Approved by CELI-Central Director of Contracts and Grants – Signature: <input type="checkbox"/> Payment ON HOLD <input type="checkbox"/> Send to CELI-Central Accountant	Date:

CELI-Central (See attached excel sheet)
FINANCIAL REPORT-SG (FR-SG)

Grant No.:		Project Title:			
Grantee:					
Grant Line Item		Total Budget	Amount Expended this period	Total Amount Expended to date	Amount remaining in Budget
Category	Items	Cost \$			
<u>1</u>					
<u>2</u>					
<u>3</u>					
<u>4</u>					
<u>5</u>					
Subtotal					
<u>Direct Procurement</u>					
Subtotal					
Grand Total:					

I certify that to the best of my knowledge the information presented is correct and complete and that all expenditures reported are for the purposes set forth in the Grant Agreement documents.

Accountant Signature:

Request for Reimbursement Form attached_____ Date:

ANNEX R: GRANTEE BANK ACCOUNT RECONCILIATION (GBAR)

Applicable only when dealing with Standard Grants, Simplified Grants or Fixed Obligation Grants that provide advances. One original copy of the Reconciliation should be submitted to the attention of the CELI-Central Director of Contracts and Grants together with two copies of the Bank Statement.

GRANTEE BANK ACCOUNT RECONCILIATION – (GBAR)

1. Grantee:		2. Grant No.:	
Name:		3. Grant Title:	
Address:		4. Grant Period:	
		Start Date:	
		End Date:	
		5. Reconciliation Period:	
		Start Date:	
		End Date:	
<input type="checkbox"/> Authorized Representative		6. Bank Name:	
<input type="checkbox"/> C.C. On File		7. Bank Account:	
		<input type="checkbox"/> Copy of Statement Attached	

Amount Stated in Local Currency			
Balance as per Bank Statement			Curr.
Add: Outstanding Deposits (e.g. Deposit registered, but the Bank has not yet entered it on the statement)			
Date	Deposit Ref.	Curr.	
			Curr.
Add: Interest Earned			
Date	Ref. No.	Curr.	
			Curr.
Less: Outstanding Checks (e.g. Grantee wrote checks and entered in check register, but the checks have not yet been presented for payment at the Bank)			
Date	Check No.	Curr.	
			Curr.
Less: Miscellaneous Fees			
Date	Ref. No.	Curr.	
			Curr.
Balance as per Cash Book			Curr:
Prepared By		Verified By	Approved By
Name:		Name:	Name:
Date:		Date:	Date:

ANNEX S: COST SHARE REPORTING FORM (CSR)

One original copy of the Form should be submitted to the attention of the CELI-Central Director of Contracts and Grants. This form is REQUIRED of the Grantee whenever there is a cost share or a cost match component to the grant.

COST SHARE REPORTING – (CSR)

1. Grantee:	2. Grant No.:	
Name:	3. Grant Title:	
	4. Grant Period:	
Address:	Start Date:	
	End Date:	
	5. Reconciliation Period:	
	Start Date:	
	End Date:	

6. TRANSACTIONS

(Amounts Reported in Local Currency)

Activity Description	Previously Reported (A)	This Period (B)	Cumulative (A+B)	Notes (Calculated how?)
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
TOTAL				

Certificate

I certify that to the best of my knowledge and belief that this report is correct and complete and that all outlays are for the purposes set forth in the agreement documents.	Authorize Certifying Official	Signature:	Date Report Submitted:
		Type or Printed Name and Title:	Telephone:

Box A – For CELI-Central Use Only

Remarks:

☐ Approved by **CELI-Central** Director of Contracts and Grants _____
☐ Send to **CELI-Central** Accountant _____

ANNEX T: FEDERAL TAX REPORTING FORM – (FTR)

One original copy of the Form should be submitted to the attention of the CELI-Central DC&G.

The Grantee must submit quarterly reports and a final report that contains the amount of foreign taxes assessed by the government of Colombia on commodity purchase transactions valued at USD \$500 or more financed with CELI-Central project funds under this agreement.

Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance are to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).

The final report is an updated cumulative report of the quarterly reports.

Reports are required even if the Grantee did not pay any taxes during the report period.

Definitions: For purposes of this clause:

- “Agreement” includes USAID direct and country contracts, grants, cooperative agreements, and interagency agreements.
- “Commodity” means any material, article, supply, goods, or equipment.
- “Foreign government” includes any foreign governmental entity.
- “Foreign taxes” means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

Submit the reports to:

CELI-Central Director of Contracts and Grants

[Insert Address]

Subagreements: The Grantee must include this reporting requirement in all applicable subcontracts, subgrants, and other subagreements.

For further information please contact the CELI-Central Director of Contracts and Grants or refer to <http://www.state.gov/m/rm/c10443.htm>.

FEDERAL TAX REPORTING – (FTR)

1. Grantee:	2. Grant No.:	
Name:	3. Grant Title:	
Phone:		
Fax:	4. Grant Period:	
Email:		
Address:	Start Date:	
	End Date:	
	5. Current Period:	
	Start Date:	
	End Date:	
Check One:		
<input type="checkbox"/> Interim Report		
<input type="checkbox"/> Final Report		

Insert taxed transactions at USD\$500 or more *insert period of coverage* of current year

Voucher No.	Description	Date	Total Invoice	Tax Paid
Total				

Taxes Reimbursed (this period only)	Tax Reimbursed from the Transactions Above (interim report through Oct. 31)	Tax Reimbursed from the Transactions Above (final report through March 31)
Total		

Certificate			
I certify that to the best of my knowledge and belief that this report is correct and complete and that all outlays are for the purposes set forth in the agreement documents.	Authorize Certifying Official	Signature:	Date Report Submitted:
		Type or Printed Name and Title:	Telephone:

ANNEX U: PROJECT PERFORMANCE REPORTING FORM

PURPOSE OF PERFORMANCE REPORTING

This Annex establishes the procedures for monitoring and reporting on the Grantee's program performance and the required reporting format.

MONITORING AND REPORTING PROGRAM PERFORMANCE

Grantees are responsible for managing and monitoring each project, program, subaward, function, or activity supported by the award. ***{Insert any monitoring reporting instructions here, for example, based on the performance monitoring plan (PMP), there may need to be a one page format that allows the grantees to report on the indicators in the PMP}*** Performance reports are required to be submitted no more frequently than monthly or, less frequently than quarterly – and they should be submitted at the same intervals as your other reports:

- | | |
|--------------------------|-----------------------|
| <input type="checkbox"/> | Financial Reports |
| <input type="checkbox"/> | Cost Share Reports |
| <input type="checkbox"/> | Federal Tax Reports |
| <input type="checkbox"/> | Environmental Reports |

The final program performance report is due 30 (modify as necessary, 22 CFR 226 states 90) calendar days after the expiration or termination of the award.

CONTENT OF PERFORMANCE REPORTS

Performance reports shall generally contain, for each award:

1. Cover Page
 - Name of Grantee;
 - Award Number;
 - Address;
 - Telephone;
 - Name of Person Responsible for Program Report; and
 - Period Covered by Program Report.
2. Brief information on a comparison of actual accomplishments with the goals and objectives established for the period:
 - This section of the Performance Reporting should relate financial data to performance data and develop unit cost information whenever practical. This can be done by comparing expenditures for the period with what has been budgeted for each activity. Whenever appropriate and the output of programs or projects can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.
3. Reasons why established goals for the reporting period were not met
4. Other pertinent information including, analysis, and explanation of cost overruns or high unit costs
5. Findings: The Grantee shall immediately notify CELI-Central of developments that have a significant impact on the award-supported activities. Notification should be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award.

This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

6. Next Steps: Document the goals and objectives for the next reporting period.
7. Grantees shall submit the original and one copy of performance reports to: CELI-Central DC&G ***{Insert address}*** CELI-Central DC&G, or his or her designee, may make site visits, as needed.

ANNEX V: PREPARATION FOR GRANT CLOSURE LETTER

Date

Grantee

Address

Subject: CELI-Central - Grant Program Closure Letter

Dear Mr./Ms. **[Insert Grantee's responsible party's name]**,

Thank you for meeting with us to discuss the Grant Program Closure issues. It is very important that we have a clear understanding of the Grant Program Closeout process.

Your project is scheduled to end **[end date]**. You are therefore required to ensure that all programmatic, administrative, and financial matters are completed by this date. The grant closeout period will be from **[at least three months before the end of the project]**.

The month following the end of the grant period allows room for grantees to prepare final reports and liquidate all obligations. This period allows for CELI-Central to evaluate and ensure that all USAID requirements are met. As discussed at our meeting, in order to satisfactorily complete the closeout procedures, it will be necessary to address the following:

1. TECHNICAL REPORT

As stated in the terms and conditions of the grant agreement, **[Grantee name]** is required to provide a final technical report detailing activities completed, accomplishments and lessons learned during the period **[Insert Date]** to **[Insert Date]**, the duration of the grant project. For your reference, please see the Grant Agreement, where detail requirement for the final report is stated. Please submit this report within 30 days from the closeout date.

2. FINANCIAL REPORT

For the final reporting period, **[Grantee name]** is required to report on any interest earned during the grant period. As stated in the Grant Agreement, any interest earned over USD \$250 per year must be returned to CELI-Central. **[Grantee name]** is required to submit a final audit report within 90 days of closeout date of **[Insert Date]**.

3. FINAL PAYMENTS

All financial matters must be closed out by **[Insert Date]**. The only two payments CELI-Central will approve for payments beyond this term are to the auditor and the evaluation consultant. These two payment amounts will be pre-approved by CELI-Central and upon final approval by CELI-Central for satisfactory delivery, the payments will be made no later than **[Insert Date]**.

[Grantee name] must closeout the bank account within 90 days from the end of the project period, **[Insert Date]** and return all unused portions of the grant funds to CELI-Central.

4. INVENTORY

It will be necessary to obtain an up-to-date inventory of all non-expendable and/or residual property acquired under the grant project. CELI-Central will conduct a site visit during the 90 day closeout period and at this time a verification of the inventory will be conducted.

Kindly submit an updated inventory listing and a letter of intent stating **[Grantee name]**'s plan for the use of the purchased items beyond the grant period.

If there are any concerns or questions you would like to discuss, please feel free to contact me. I look forward to working with you to successfully complete these activities and anticipate your usual cooperation.

It has been a pleasure working with you on this grant project.

Sincerely,

{Insert DC&G name}

CELI-Central Director of Contracts and Grants

ANNEX W: GRANT COMPLETION CERTIFICATE

[Insert Date]

Grant Title:

Grant No.:

Grantee Name:

Grantee Address:

Subject: Grant Completion Certificate

With reference to the **[insert type of grant]** duly signed by Tetra Tech ARD and **[Grantee Name]** on **[Insert date]**, I hereby certify that:

[Grantee name] successfully completed and submitted all deliverables as required under the referenced grant agreement and subsequent modifications thereof **{If modified, otherwise delete. If the project was not completed this should be added...thereof, with the exception of the following:}**

[Grantee name] understands that USAID and Tetra Tech ARD retain the right access its grant records for three years from this date.

[Grantee name] releases and forever discharges Tetra Tech ARD/USAID from all liability and from all existing and future claims and demands that may arise as a result of this completed grant project award.

On Behalf of **[Grantee Name]**

Certificate			
I certify that to the best of my knowledge and belief that these statements are correct and complete.	Authorized Certifying Official	Signature:	Date:
		Type or Printed Name and Title:	Telephone:

ANNEX X: CELI-CENTRAL TITLE TRANSFER DOCUMENT FORM

TITLE TRANSFER DOCUMENT

Tetra Tech ARD, the Contractor, under USAID Contract No. 514-C-11-00002 and the U.S. Agency for International Development (USAID), hereby agree to the transfer of title of the equipment listed in Attachment I to the Recipient identified below. In accepting title to said equipment, the Recipient agrees to the terms and conditions set forth in Attachment II governing the use and care of said equipment.

Name of Recipient_____

Responsible Representative_____

Address of Recipient_____

Tel #_____ Fax #_____ E-Mail_____

Purpose of Equipment

Location of Equipment

Date of Transfer_____ **Transfer Record Number**_____

This agreement has been signed by all parties and is effective on the _____ Day of _____, 20__.

Tetra Tech ARD Representative

Date

Name and Title of Recipient Representative

Date

Attachment I

CELI-Central: _____
Title Transfer Document
Equipment Title Transfer Record

USAID Contract No. _____ Transfer Record No. _____

Name of Recipient _____

Address of Recipient _____

Telephone # _____ Fax # _____ E-Mail _____

List of Equipment

Please enter a description of each item to be transferred including the type of equipment, the brand name and model, and serial number. Use additional pages if necessary

By signing below, the parties agree that the above list of equipment shall be transferred to the Recipient for the purposes stipulated in the Title Transfer Document and according to the terms and conditions described in Attachment II.

Tetra Tech ARD Representative

Date

Name and Title of Recipient Representative

Date

Attachment II

CELI-Central: _____
Title Transfer Document
Terms and Conditions

USAID Contract No. _____ Transfer Record No. _____

Name of Recipient _____

Responsible Representative _____

Address of Recipient _____

Tel # _____ Fax # _____ E-Mail _____

The Recipient hereby agrees to the following terms and conditions governing the use and care of the equipment listed and described in Attachment I to the Title Transfer Document.

Specifically, the Recipient agrees to:

1. Utilize equipment only in accordance with the purposes, principles, and objectives set forth in the Letter of Understanding between Tetra Tech ARD and the Recipient organization.
2. Exercise appropriate care in the use and maintenance of equipment.
3. Take all steps necessary to safeguard equipment from theft, misuse, and factors which might cause damage or excessive wear to equipment.
4. Neither sell, trade, or otherwise dispose of equipment without the prior consent of USAID; and
5. As deemed appropriate, acknowledge the donation of this equipment by the United States Agency for International Development. Such acknowledgment shall include display of the USAID emblem.

It is agreed that the above terms and conditions shall govern the Recipient's use and care of the equipment listed and described in Attachment I to the Title Transfer Document for the time remaining in the period of performance of the applicable contract.

Tetra Tech ARD Representative

Date

Name and Title of Recipient Representative

Date

ANNEX Y: WEB-LINKS

Reference	Description
ADS 303	Grants and Cooperative Agreements to Non-Governmental Organizations http://www.usaid.gov/policy/ads/300/303.pdf
ADS 304	Choice of Implementation Instruments http://www.usaid.gov/policy/ads/300/304.pdf
22CFR 226	Administration of Assistance Awards to U.S. Non-Governmental Organizations (as a matter of policy Tetra Tech ARD Project Offices should apply 22 CFR 226 to non-U.S. organizations, to the extent practicable.) http://www.access.gpo.gov/nara/cfr/index.html
OMB A-110	Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations http://www.whitehouse.gov/omb/circulars/a110/a110.html
OMB A-122	Cost Principles for Non-Profit Organizations http://www.whitehouse.gov/omb/circulars/a122/a122.html
OMB A-133	Audits of States, Local Governments and Non-Profit Organizations http://www.whitehouse.gov/omb/circulars/a133/a133.html
22CFR 208	Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for a Drug-Free Workplace (Grants) http://www.access.gpo.gov/nara/cfr/index.html
ADS Forms	A site to locate forms that are referenced within ADS http://www.usaid.gov/policy/ads/sfforms.html
ADS Glossary	ADS definitions are provided at the following site http://www.usaid.gov/policy/ads/glossary.pdf (or html)
Standard Forms	Most USAID forms can be found here: http://www.usaid.gov/procurement_bus_opp/procurement/forms/
FAR	Federal Acquisition Regulations http://www.arnet.gov/far
Excluded Parties List	The List of Parties Excluded from Federal Procurement and Non-procurement Programs http://epls.arnet.gov
Policy Letters	Policy Letters http://www.arnet.gov/Library/OFPP/PolicyLetters/
OMB	OMB Home Page http://www.whitehouse.gov/omb/index.html
Grant Management Circulars	Grant Management Circulars http://www.whitehouse.gov/omb/grants/grants_circulars.html
AIDAR	USAID Acquisition regulations http://www.usaid.gov/policy/ads/300/aidar.pdf
USAID Webpage	www.usaid.gov
CIB 01-17	Expansion of use of the Simplified Grant Format and Fixed Obligation Grant Format http://www.usaid.gov/procurement_bus_opp/procurement/cib/pdf/cib0117.pdf
Acquisition and Assistance Policy Directive (AAPD)	Acquisition and Assistance Policy Directive http://www.usaid.gov/business/business_opportunities/cib/

ANNEX Z: CERTIFICATION AND MANDATORY STANDARD PROVISIONS TABLE AND TEMPLATES

Ref	Short Name	Actual Title of Certificate	U.S. NGO	Non-U.S. NGO	Reference
Cert1	Nondiscrimination	Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs	All must sign, w/o exception	Must sign IF any part of program will be undertaken in U.S.	ADS 303.5.8 To be received Prior to award
Cert2	Lobbying	Certification Regarding Restrictions on Lobbying	Grants, Contracts awarded OR under consideration that exceed \$100,000 USD	Grants, Contracts awarded OR under consideration that exceed \$100,000 USD	ADS 303.5.8 & 22 CFR 227 To be received Prior to award
Cert3	Drug Traffickers	Certification Regarding Prohibition on Assistance to Drug Traffickers	Only Covered Countries	Only Covered Countries	ADS 303.5.8 & ADS 206 To be received Prior to award
Cert4	Terrorist Financing	Certification Regarding Terrorist Financing	All must sign, w/o exception	All must sign, w/o exception	AAPD 04-14 To be received Prior to award
Cert5	Self Certification	Certification of Recipient	All must sign, w/o exception	N/A	ADS 303.6 & ADS 303.5.9s1 To be received Prior to award
OS ¹	Key Individual	Key Individual Certification Narcotics Offenses and Drug Trafficking	Covered Countries or Individuals	Covered Countries or Individuals	AAPD 206.3.10 To be received Prior to award

¹ Other Statement

Ref	Short Name	Actual Title of Certificate	U.S. NGO	Non-U.S. NGO	Reference
MSP ¹	Drug Free Workplace ²	Certification Regarding Drug Free Workplace Requirements	Applies to any grantee	Applies to any grantee	AAPD 04-03 to be included in the schedule of the award and RFA
MSP	Debarment - Primary	Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transaction	All non-procurement transactions including grants....	All non-procurement transactions including grants....	AAPD 04-03 to be included in the schedule of the award and RFA
MSP	Debarment - Lower Tier	Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Lower Tier Covered Transactions	All non-procurement transactions including grants....expected to exceed \$25,000 USD	All non-procurement transactions including grants....expected to exceed \$25,000 USD	AAPD 04-03 to be included in the schedule of the award and RFA, Annual Program Statement (APS)
MSP	Prostitution	Prohibition on the Use of Federal Funds to Promote, Support, or Advocate for the Legalization or Practice of Prostitution- Assistance (July 2004)	All, when program related to human trafficking	All, when program related to human trafficking	AAPD 04-09 to be included in all public notices when related to human trafficking.
SP ³	Disability	USAID Disability Policy - Assistance (December 2004)	All, to be included in the schedule of the award and RFA, APS	All, to be included in the schedule of the award and RFA, APS	AAPD 04-17 to be included in the schedule of the award and RFA, APS

¹ Mandatory Standard Provision.

² In accordance with AAPD 04-03 entitled "Revised Regulations Concerning Debarment and Suspension and Drug-Free Workplace Applicable to Assistance" and issued January 12, 2004, the following certifications may no longer be requested from proponents seeking federal assistance: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transaction; Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Lower Tier Covered Transactions; and Certification Regarding Drug Free Workplace Requirements. In place of the certifications, ARD, in accordance with the guidance provided at AAPD 04-03, is incorporating two additional provisions into the appropriate grant templates. One of the provisions address "Debarment, Suspension, and Other Responsibility Matters," and the other one addresses "Drug-Free Workplace."

³ Special Provision.

CERTIFICATION REGARDING TERRORIST FINANCING (ATC) CERTIFICATION

By signing and submitting this application, the prospective Recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts; or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification.
 - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.
 - b. "Terrorist act" means: (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub-national groups or clandestine agents; or (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed

conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

- c. “Entity” means a partnership; association; corporation; or other organization, group, or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance (such as Recipients of food, medical care, micro-enterprise loans, shelter, etc.) unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.
- e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase (e.g., utilities, rents, office supplies, gasoline, etc.) unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signed: _____
(Typed Name and Title)
(Name of Organization)

_____ Date

SELF CERTIFICATION

[GRANTEE'S LETTERHEAD]

Date

Subject: Certificate of Compliance in Accordance with ADS 303.5.9 s1

Attn: ***{insert contact person and address}***

I, ***[INSERT PRINTED OR TYPED NAME(S)]***, as a legally authorized representative of ***[INSERT ORGANIZATION'S NAME]*** do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I/we understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I/we further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

Signature

Type or Print Name

Position Title

Date of Execution

PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

Signed: _____
(Typed Name and Title)
(Name of Organization)

_____ Date

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

By signing below the recipient provides certifications and assurances for the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs.

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

ANNEX AA: MONTHLY GRANT TRACKING FORM

MONTHLY GRANT REPORT (Available in excel format)

Date:

Grant No.

Title

Grantee	Grant No.	Title of Activity	Period of Performance	Budgeted Amount	Current Month Expense	Expense to Date	Remaining Balance

ANNEX AB:

ENVIRONMENTAL DOCUMENTATION FORM

ENVIRONMENTAL DOCUMENT FORM (EDF)



ENVIRONMENTAL DOCUMENTATION FOR GRANT ACTIVITIES

Grant No.:

A. Applicant information

Grantee (organization): -----	
Individual contact and title: Mr. ----- Mob.: ----- TelFax: -----	Address, phone & ----- email (if available)
Grant activity (brief description): -----	Amount of grant \$-----
Location of grant activity -----	Start and end date ----- of grant activity

B. Activities, screening results, and recommended determination

TABLE 1 Proposed grant activities	Screening result (Step 3 of instructions)			Recommended Determinations (Step 6 of instructions. Complete for all moderate and high-risk activities)		
	Very Low Risk	Moderate Risk	High Risk	No significant adverse impact	With specified mitigation, no significant adverse impact	Significant adverse impact

(continue on additional page if necessary)

C. Summary of recommended determinations (check all that apply)

The grant contains. . .	<i>(equivalent regulation 216 terminology)</i>
<input type="checkbox"/> Very low risk activities	<i>grant categorical exclusion(s)</i>
<input type="checkbox"/> After environmental review, activities determined to have no significant adverse impacts	<i>grant negative determination(s)</i>
<input type="checkbox"/> After environmental review, activities determined to have no significant adverse impacts, given appropriate mitigation and monitoring	<i>grant negative determination(s) with conditions</i>
<input type="checkbox"/> After environmental review, activities determined to have significant adverse impacts	<i>grant positive determination(s)</i>

D. Certification:

I, the undersigned, certify that:

(a) The information on this form is correct and complete

2. The following actions have been and will be taken to assure that the activity complies with environmental requirements established for project under the Code of Federal Regulations 22 CFR 216:

- Those responsible for implementing this activity have received training and/or documents describing essential design elements and best practices for activities of this nature.
- These design elements and best practices will be followed in implementing this activity, except with the approval of USAID.
- Any specific mitigation or monitoring measures described in the attached information will be implemented in their entirety.
- Compliance with these conditions will be regularly confirmed and documented by on-site inspections during the activity and at its completion.

(Date)

BELOW THIS LINE FOR USAID USE ONLY

Approval

USAID Project Officer	(print name)	(signature)
<input type="checkbox"/> Approved <input type="checkbox"/> Rejected		
USAID MEO	(print name)	(signature)
<input type="checkbox"/> Approved <input type="checkbox"/> Rejected		

USAID comments: (if documentation is rejected, comments must be provided to applicant)

Environmental Review

For

{insert name of the project}

Summary of grant and description of activities

{Insert here}

Environmental situation associated with the project

Issue	Description
Location	
Topography	
Soil	
Vegetation	
Access	

Environmental situation associated with the project area

Issue	Description
Topography	
Soil	
Vegetation	
Access	
Source of water supply	
Source of income	
Average rain water	
Average Temperature	

Environmental Impact, Mitigation and Monitoring Issues

Issues	Impact	Mitigation	Cost	Monitoring	Monitored by	Mitigation Achieved (For CELI-Central Use Only)
Planning and Design						

ANNEX AC: IN-KIND GRANT MAKING

CELI-CENTRAL Grant Making Introduction

Questions to Ask:

What window of opportunity does the idea address?

What analysis informs your idea?

What assumptions inform this activity idea?

Which emerging issue does it deal with?

How is it linked to the critical calendar of events for CELI-Central?

What is the desired impact of this activity?

Would this activity have symbolic value that will positively influence public perception?

Can it be replicated in other areas?

- Getting ideas for activities is a continual process of analysis of emerging issues and what opportunities these provide for positive changes measured against CELI-Central's critical calendar of predictable events over the next 3 – 6 months: Daily rolling assessment.
- Activities developed around the critical events in this calendar can provide the traction needed to achieve CELI-Central objectives. The **WHY** and the **HOW** are more important than the **WHAT**.
- The Local Analysis List (discussion groups) is reflective of the most important social and economic issues of the moment. Participation in the local analysis list often leads to activity ideas.
- Formal Rolling Assessments are conducted every quarter (more frequent as necessary) to help identify activity development focus areas. During the rolling assessments, the most likely scenario for the upcoming period is mapped out, and the expected outcomes are predicted then the types of activities and/or overall approach which could positively affect the outcomes can be identified. These should all feed into activity idea generation.

Activity Idea to Yellow Light

Is this a small entry-point activity to gain credibility in the community or with key stakeholders?

Does it support participatory decision-making?

Is the cost commensurate with activities and impact expected?

Does the activity idea empower people to identify and draw upon resources in their own community?

Is the activity focused on confidence- building and demonstrating new ways of doing business?

Does the activity involve any identified target actors and/or target areas?

- Activity ideas are often directed from USAID/RCC. However, all team members are encouraged to generate ideas by undertaking initial problem analysis with potential grantees, community members and solicit input from other staff. Anyone can be idea generator. If the idea generator wishes to consult the RD to get input this should be an informal and quick process.
- The idea generator should start at the end of the grant cycle and work backwards to the beginning. "Begin with the end in mind." When you know what CELI-Central wants to accomplish at the end of the grant (IMPACT), then you can design grants which can reach this. Read the evaluation questions at the end of this manual to get an understanding of what kind of answers the grant impact should address.
- The community transaction is the critical element in CELI-Central grants. Think of the strategies you can use to get the community engaged in the process.
- Responsibility for managing information and maximizing project impact is shared among different team members at different stages in the grant cycle.

Does this activity need to be implemented now to be effective?

Why? Is it time sensitive?

- The idea generator fills out the Activity Concept (AC) template and submits to the Program-List-USAID/RCC.
- The team provides feedback within 48 hours to assist the idea generator to further develop the idea.
- The USAID/RCC will send their comments only after the 48 hour period has ended.
- The idea generator then incorporates everyone's feedback and submits the AC for yellow light to proceed and copy the Program-List-USAID/RCC.
- IMS updates the Tracking Sheet entitled "Activity Idea to Yellow Light Submission."
- USAID/RCC provides Yellow Light by e-mail or verbally during the weekly program meeting. Guidance and comments are also provided as necessary.

When Yellow Light is received

These two steps are usually completed within 24 hours from yellow light approval from USAID/RCC.

- IMS creates a grant file in the database and enters an estimated budget amount and grantee information if known. The first grant note documents the date the activity was yellow-lighted and by whom.
- PO/FC&G team is assigned. Planning meeting is held to carve out course of action for grant development.
- FC&G completes EPLS search, print and file.

Yellow to Green Light

At this stage of the grant cycle, the PO is responsible for including input from the team.

In order to guarantee rapid implementation, PO has the ultimate responsibility for ensuring that the following steps have been accomplished before passing the grant to the Program Manager for review:

- 1. The budget has been reasonably priced;***
- 2. The detailed description of activities and proposed project duration has been negotiated and agreed with the grantee***
- 3. All obstacles to a smooth procurement have been discussed and resolved***
- 4. The grant mechanism is agreed upon***
- 5. All engineering concerns have been reviewed and addressed.***

- It is crucial for the grants team to plan and work closely together during this phase to complete a well developed grant. Each team member follows his or her tasks in order to complete a well developed grant for green light submission.
- FC&G starts to develop the detailed budget in close consultation with the PO. The precise quantities and technical specifications for all goods and services to be purchased under the grant should be discussed with the grantee as needed and BOQ completed as necessary.
- FC&G obtains price quotations, conduct analysis and determination made, the FC&G completes award justification memo but does not provide the vendors with an award until after a grant has been green lighted.
- PO finalizes the activity list in close consultation with the FC&G to ensure all activities under the proposed grant activities are taken into consideration. PO solicits feedback from the FC&G on the reasonability of the procurement time-lines in the activity plan.
- FC&G finalizes the detailed budget upon establishing reasonable prices for the goods and services (refer to past projects, lists of items frequently procured, and market scan)
- PO completes all sections in the grant in the database. The detailed description of activities should be very clear and concise. PO should speak with the grantee to ensure that the activities listed are in agreement. This should be reflected in the Budget/Activity Plan.

When the grant leaves the hands of the PO, it must be ready for implementation the next day; even if it takes a few days to get a green light.

RD provides support and guidance on all technical aspects of grant development as requested by PO and FC&G.

Before the grant is submitted, the grants team may find it useful to have a pre-implementation meeting with Grantee and other staff as appropriate to ensure that all financial, compliance, engineering, procurement, monitoring and reporting requirements and tasks are properly explained and collectively understood

- All members of the grant team are responsible for ensuring that all necessary input and technical guidance on compliance and procurement are obtained.
- In consultation with the RD, the team should agree on the grant mechanism to be used. The PO is responsible for obtaining all pre-agreement documentation required for compliance purpose.
- When the grants team has reached agreement on the final grant, budget and activity plan, the PO submits final grant file with the attached Budget/Activity Plan to RD.
- RD reviews and sends final grant file to COP.
- COP conducts final compliance check and submits grants for Green Light to USAID/RCC and copy the Program List.
- IMS updates the share drive and the database with the final grant and budget/activity plan.
- USAID/RCC sends an e-mail green lighting the activity and comments or recommended changes, which is then incorporated by IMS into the database before moving to “approved” status.
- FC&G prints grant approval form and files.
- The team in consultation with the RD decides on final start date and begins implementation planning.

Grant Agreement Preparation

Pre-agreement documentation required:

NGOs

- EPLS print***
- Signed ATC***
- Information on Organization***
- Local/National Government***
- USAID/RCC approval***
- Background information***

For SG/ FOG/SiG

- SPAS/ PARD***
- Negotiation memo***
- Organization's documentation***

- Immediately after green light action, the PO/FC&G team confirms the agreed start and end dates with the Grantee, **ensuring that adequate time is allowed for project implementation.**
- PO checks with the RD and FC&G to ensure that all required pre-agreement documentations are on file.
- FC&G generates the grant agreement document from the database with all appropriate attachments and send to PO for final review.
- The PO/FC&G in consultation with the RD sets up grant signing and pre-implementation meeting with the grantee. COP may attend these signing sessions as necessary.
- **The PO hands the signed Grant Agreement over to the FC&G, signaling the start of the implementation process and the formal hand over of the grant to from preparation to implementation.**

Grant Implementation

- PO and FC&G take the lead throughout this stage of the grant cycle closely involved through regular exchange of information. PO attends events and provides input as needed on Amendments and any problems arising during project implementation.
- Four processes operate in parallel during this stage:
 1. Procurement
 2. Payments
 3. Monitoring
 4. Amendments (if necessary)

*Procurement:
Verbal or written
quotations?*

*Compiling
justification memos.*

*Need official public
bidding?*

*Purchase Order or
Service Agreement
or Contract?*

*Is a market scan
necessary?*

*Is engineering
expertise needed?*

*Does the vendor
have ZeroVAT
status?*

1. Procurement

- On the basis of the approved Budget/Activity plan, the FC&G begins the procurement of all items.
- Based on the quotations received during the grant development phase, the FC&G finalizes award justification memo and begin contracting process by consulting with the RD on the type of contracting mechanism and begin awards.
- Before issuing any contracts, the FC&G checks the vendor tracking sheets to ensure compliance.
- FC&G conducts EPLS and prints out the results and this must be attached to the contracts as supporting documentation.
- FC&G develops Purchase Orders, service agreements, and contracts and sends to Director of Contracts and Grants for compliance check.

Careful and consistent monitoring of and reporting on grant development and implementation measures programmatic efficiency and effectiveness.

Reflecting and reporting on implementation at key milestones in the project calendar provides continuous feedback for program team on which project designs work best in which areas.

Regular implementation monitoring also provides continuous review of internal procurement and payment systems and processes so that bottlenecks and problems can be rapidly identified and remedial action taken.

- FC&G obtains appropriate signatures on all contracts and issues them directly to the vendors.
- In order to ensure that the goods are of good quality, the FC&G may check vendor samples to ensure that they meet the specifications detailed in the budget. As the FC&G gains knowledge of the vendors in her/his operational areas, this will become less necessary.
- FC&Gs updates the vendor tracking list in the share drive to ensure all newly contracted vendors are listed and tracked. This will assist in determining track record.
- The delivery of goods and services to the grantee must to be verified. In order to ensure there are separation of duties and checks and balance, the PO will verify the delivery of goods. FC&G may seek other team members to assist in certain deliveries. In cases where CELI-Central staff cannot attend the delivery, the Grantee may be asked to account for the delivery by signing off on delivery invoices.
- The delivery of services will take place over time (training, surveys, public information material development, and field coordinators). The FC&G will be responsible for negotiating the contract with the individuals for these services, but the PO will, as part of monitoring the implementation process, will monitor the delivery of these types of services and verify to the FC&G that the services have been delivered satisfactorily.
- FC&G is responsible for maintaining all procurement files including the request for quotations, the original copies of the quotations, justification memos, and other procurement related documents. The FC&G submits all procurement documents to the Director of

Contracts and Grants at the end of each grant closeout phase.

- At the end of each month the FC&G must submit an excel sheet that accounts for all contracts signed for the month and distributes to the team.
- The FC&G must file all signed copies of the contracts.

2. Payment

How do I process a payment that is needed in the field today?

Plan Ahead!!

How long should a vendor have to wait for payment?

Is the required documentation attached to the payment request?

- When FC&G receives a stamped Zero VAT invoice (Official VAT invoice for those items where zero VAT exemption cannot be obtained) from the vendor for goods and services rendered and delivery verification documents from the PO and/or the grantee, the FC&G immediately confirms that there are sufficient funds in the grant budget to cover the payments by tracking and adding all payments made against the grant budget and the individual vendor contracts.
- The FC&G controls the budget for each grant by maintaining a tracking sheet for each grant for tracking expenditure against the approved budget. FC&G keeps the PO and the RD informed as necessary.
- The FC&G completes and signs a Payment Request form, attaches all the required documentation (copy of the original vendor contract, EPLS print out, original stamped zero VAT invoice or official VAT invoice) and obtains the approval of the RD.

What do I do if there are no funds left in the grant budget to make the payment?

Payments made on the basis of first in, first out?

FC&G reconciles monthly payment projection schedule against the weekly financial tracking list and immediately follows up any delayed payments.

Monthly financial projections should be completed before the 5th of the month so that cash flow can be effectively managed.

- FC&G sends an e-mail to the Financial Manager with a list of payments being requested along with a tracking sheet.
- Financial Manager verifies that all payment required documents are attached, they all match each other, and that there are sufficient funds available in the overall grant budget to cover the payment.
- Financial Manager prepares payments and passes to COP for signature.
- FC&G updates financial tracking list with grant number, payee name, value of payment and date of payment.
- Once per week, the Financial Manager sends an updated financial link to IMS for database upload.
- At the end of each month, the Financial Manager prepares a monthly expenditure report for all grants and distribute to the grants team.
- On the 20th of each month, the FC&G in consultation with the PO calculates monthly expenditure projections for the following month. The FC&G can base this on the status of vendor contracts and the expected delivery times of materials, and expected zero VAT exemption of vendor invoices.
- These estimates are important to ensure that CELI-Central knows how much money to request from the Tetra Tech ARD Home Office. This also provides a necessary review and check for the PO and FC&G to understand where implementation has reached across all grants and to plan for the next month. Finally, this provides an

opportunity to review progress against grant disbursement targets and provides the RD and the COP with an overall picture of disbursement rates across the program.

- FC&G can conduct the projections by consulting with PO to ensure that all payment targets are reasonable and sufficient based on activities to be accomplished in the month.
- FC&G double checks to make sure that all payments unpaid at the end of the month are carried over to the next month's projection.

3. Monitoring

Careful and consistent monitoring of and reporting on activity development and implementation links the three levels (strategic, program and project) of analysis, response and evaluation.

- There are two main reasons for monitoring the grants; to provide fast feedback so that adjustments can be made while the activity is still on-going; and to provide lessons learned for future activities and overall program design.
- Observing and documenting grant activities over time tells us if activities are taking place, whether they are on time and if they are of the magnitude expected. By monitoring the various inputs in this way, adjustments can be made to keep the process on track towards the desired result.
- At the same time, an explanation of why the adjustments were necessary provides rich lessons for future grant design.
- Everyone has a role and responsibility for monitoring and evaluating; the M&E Specialist's responsibility focuses on

Timely monitoring and reporting create a continual feedback loop of information to strengthen programmatic decisions.

When evaluating a grant activity, it is important to remember the initial problem analysis captured in the AIT and the impact desired.

When evaluating a cluster of grants or the program overall, it is important to remember analysis from the Rolling Assessment. How can the M&ES provide quick recommendation for programmatic improvements?

monitoring and evaluating the program.

M&ES' analysis draws connections between project level and program level.

- All team members provide grant notes throughout the grant cycle. During the implementation stage, the PO and the FC&G will typically monitor and document the implementation process and procurement process including problems experienced during implementation, solutions found, recommendations for future project design in order to avoid these problems, and detailing any developments which may negatively or positively affect the outcome of the project.
- At the same time, the M&ES will periodically observe and document the effects and impact of the grant by being present during key project activities which s/he judges to be a good indicator for evaluating the impact and the kind of changes expected. The M&ES will document these observations and analysis in grant notes. The purpose of the M&ES' involvement here is to reflect on the impact of the grant; the extent to which the original objectives are being met; and the adequacy of the institutional linkages and arrangements for the grant.
- In broad terms, the PO and FC&G are mainly concerned with the internal management of the grant while the M&ES focuses on the relationship between the grant initiative and the overall CELI-Central program, of which it is a part. However, these two areas of focus are intimately linked, so there will inevitably be some cross-over, duplication and repetition in the grant notes. This is absolutely fine: the aim

Are the grants teams meeting regularly to exchange information and discuss indicators? Are grant notes being sent out regularly?

is to tell the whole story of the grant from different perspectives.

- The team meets regularly to exchange information on project implementation. Most CELI-Central grants are process focused and so their implementation leads almost automatically to new grant ideas. So regular exchanges of information during implementation should be considered as a learning experience for the whole team.
- All grant notes are e-mailed to IMS and cc to Program List. IMS records grants notes into the database at the end of each week before the weekly database upload.

4. Amendments

Amendments must support the overall objectives of the grant.

- FC&G is responsible for tracking the grant budget against disbursements and the PO is responsible for tracking the actual speed of implementation against the activity plan. PO is accountable to the RD for ensuring that the project is implemented on schedule and within cost or that appropriate amendments are approved before submitting to USAID/RCC for formal approval.
- If the PO or FC&G identifies any potential changes to the project activities or budget line items or approached by the Grantee for a possible change, they should discuss with the RD before proceeding with further discussions with the Grantee. For example, if the project is running out of time; or

Once a compliance check has been completed, the PO sends a request for Amendment to the RD with the Program-List copied.

Is the project running out of time and there are activities still remaining to complete?

Are there unexpected events that may require some changes to the original activities?

Does the budget need to be shifted to meet new demands?

Will there be a cost increase?

cannot meet its objectives with the currently agreed activities.

- With the approval of the RD, the PO uses the amendment guidelines and prepares the amendment request and submits to the USAID/RCC, copying the Program List.
- When approval is received, the PO prepares the grant amendment document and passes it to RD/COP for review and signature.
- PO receives the Grantee signature and sends the original copy to FC&G for filing.
- FC&G is required to add any time and cost amendments to the monthly report.

Monitoring Implementation: Procurement



Monitoring Implementation: Grant Process



Closeout and Evaluation

What are the indicators of a successful CELI-Central program or do they change as the context evolves?

Indicators of success and targets set at program outset may be modified as new opportunities emerge and resources are redirected to new types of activity.

Monitoring and evaluation data must be fed into a “feedback loop” through the submission of grant notes on an ongoing basis at both project and programmatic levels.

- In this final step of the grant cycle, PO determines, in consultation with the Grantee and FC&G that all project activities are completed.
- The PO sends an e-mail to the IMS cc the Program List a completion memo.
- The IMS changes the status of the project in the database from “Approved” to “Completed.”
- The PO assists the Grantee to complete the Performance Report (PR) within two weeks from the completion date. PO receives the report and distributes to the FC&G/RD and files.
- This triggers the PO to plan and conduct a final site visit and begin the final evaluation report preparation. PO/M&ES must review the PR, grant notes from the database and consult the FC&G before conducting the site visit.
- The kinds of questions to think of when conducting the final site visit¹ are detailed in the Closeout – Final Evaluation Notes template. They are not interview questions but rather general lines of inquiry. Questions will vary depending on the type of person being interviewed and the setting.
- **Because this is a learning exercise, there are no right answers.** When conducting the final evaluation site visit, try to draw conclusions from multiple sources, triangulating between different points of view. Just as the PO did when designing the original grant.
- Findings from the final evaluation site visits and lessons-learned during implementation are summarized into a five-part final evaluation

¹ Using rapid appraisal techniques such as Focus Groups, Key informant Interviews, Story-telling.

How do PO verify completion of all activities?

Recipient Performance Report received and distributed?

Who should the PO talk to when conducting the final evaluation site visit?

Is financial information part of the final evaluation process?

Are all grants documents on file?

report.¹ Each team member can contribute within their area of expertise and knowledge.

- FC&G begins financial reconciliation parallel to the evaluation process by sending the payment tracking sheet to the Financial Manager for verification.
- Financial Manager confirms that the payment information submitted by the FC&G is in agreement with his accounting records via e-mail.
- PO prepares title transfer documentation as necessary and sends to RD/COP for review. PO should wait until after the final evaluation has been completed before obtaining COP and Grantee signatures on the title transfer documentation. The original copy is forwarded to FC&G for filing.
- PO finalizes the final evaluation report and submits to the Program List. The purpose of the evaluation is to arrive at a collective understanding of what kind of approach appears to be most effective in which communities and which places. The evaluation process tells the end of the story, providing a subjective assessment of the impact that a particular type of grant had in a particular community. The PO must consult the FC&G/PO before submitting the final evaluation report.
- Within one week of the final evaluation submitted by the PO, the M&ES provides a short lessons-learned and submits this to the Program List. For the feedback loop to be effective and inform future grants and programming, it is essential that final evaluation report and the lessons learned are shared as quickly as possible.
- IMS inputs this into the database as grant note.
- Once the financial confirmation has been received, title transfer documents completed, the Director of

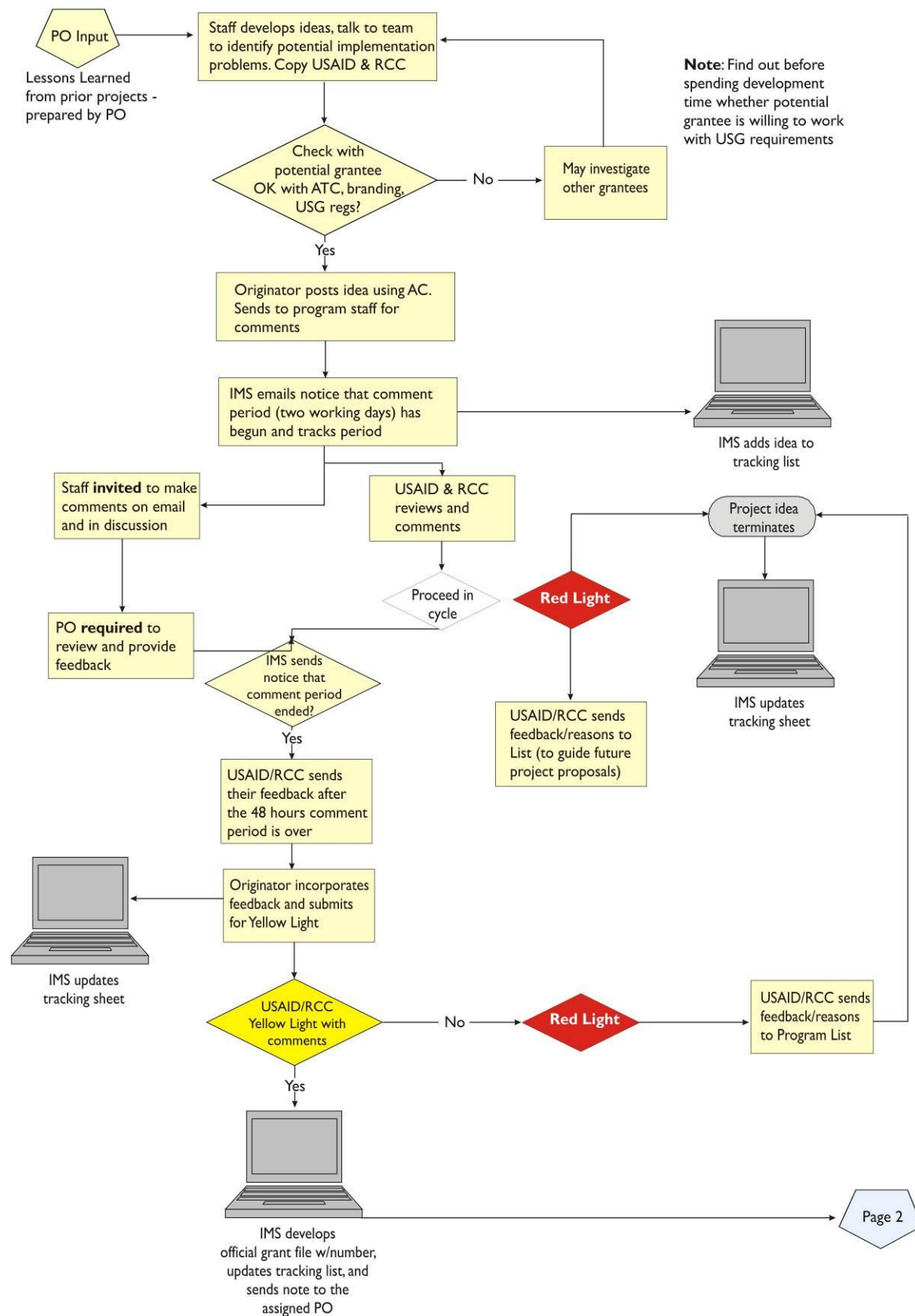
¹ See Closeout –Final Evaluation Notes Template and Closeout Process.

Contracts and Grants conducts final check on the grant files to ensure full compliance.

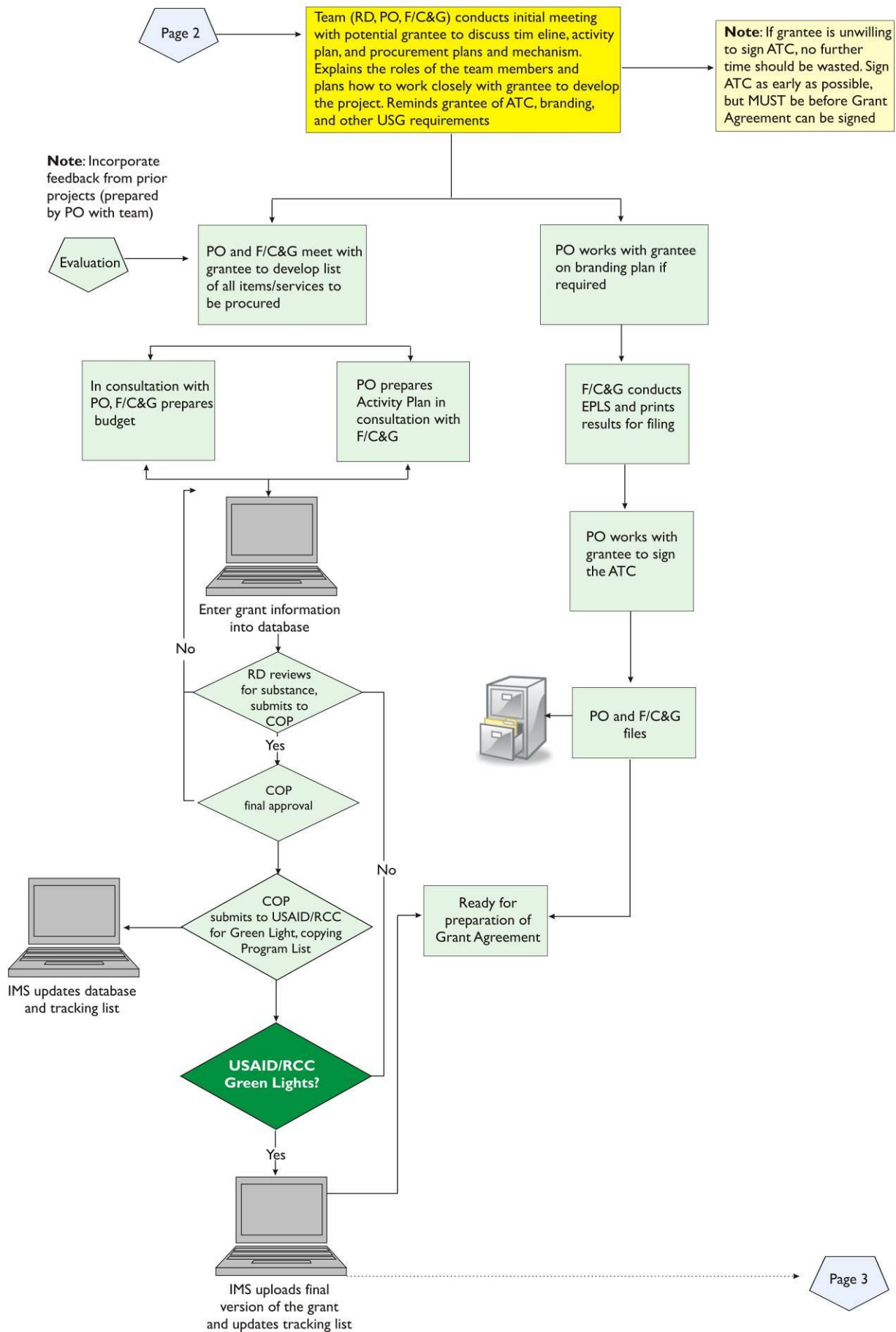
- IMS changes the project status from “Completed” to “Closed.”
- IMS in consultation with the FC&G packages the closed grant files into closed filing cabinets.
- From the time the grant completion memo is received, the PO/FC&G has 45 days to complete all close out activities for final close out of the grant.

CELI-Central In-Kind Grant Making Diagram

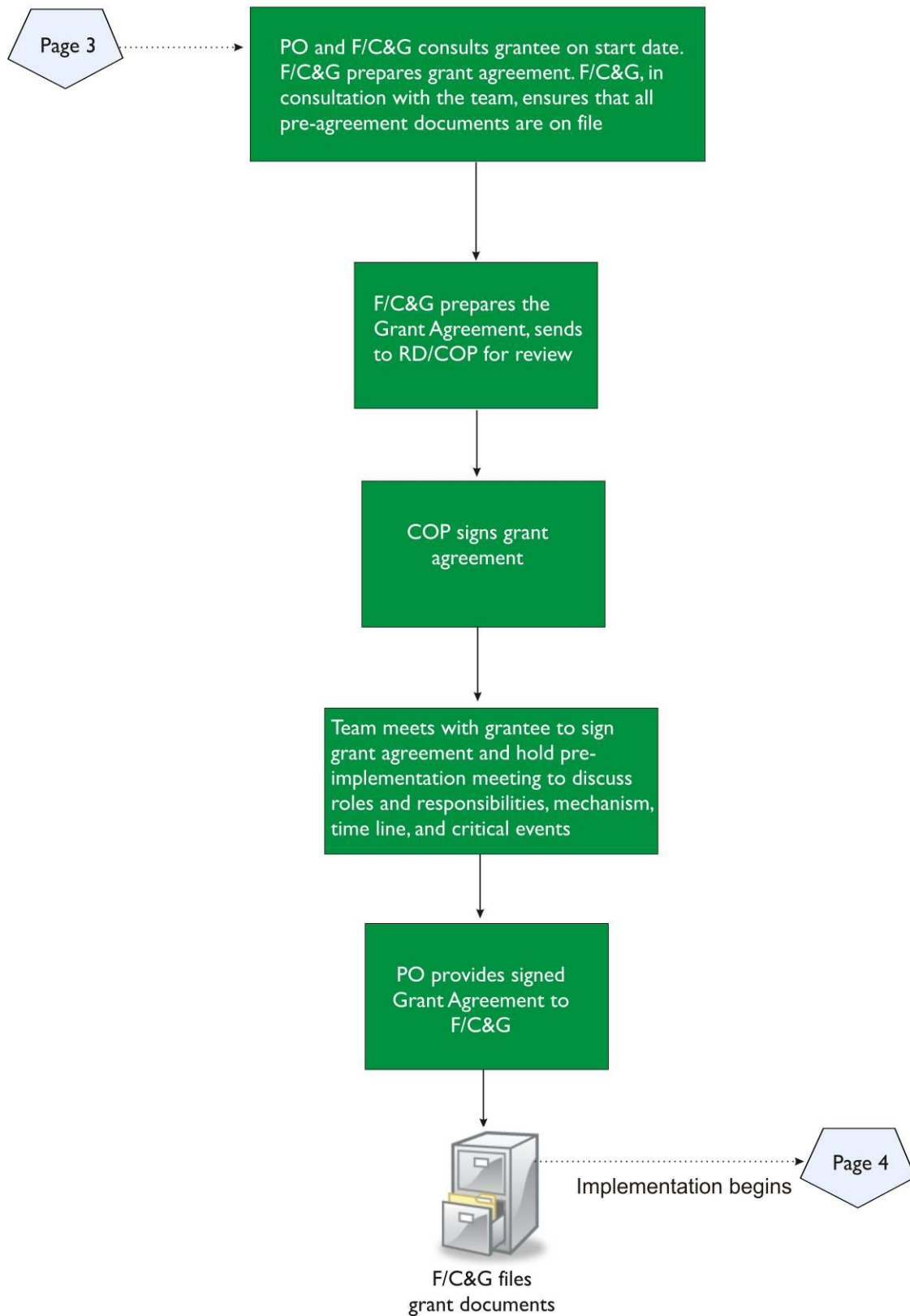
Activity Idea to Yellow Light



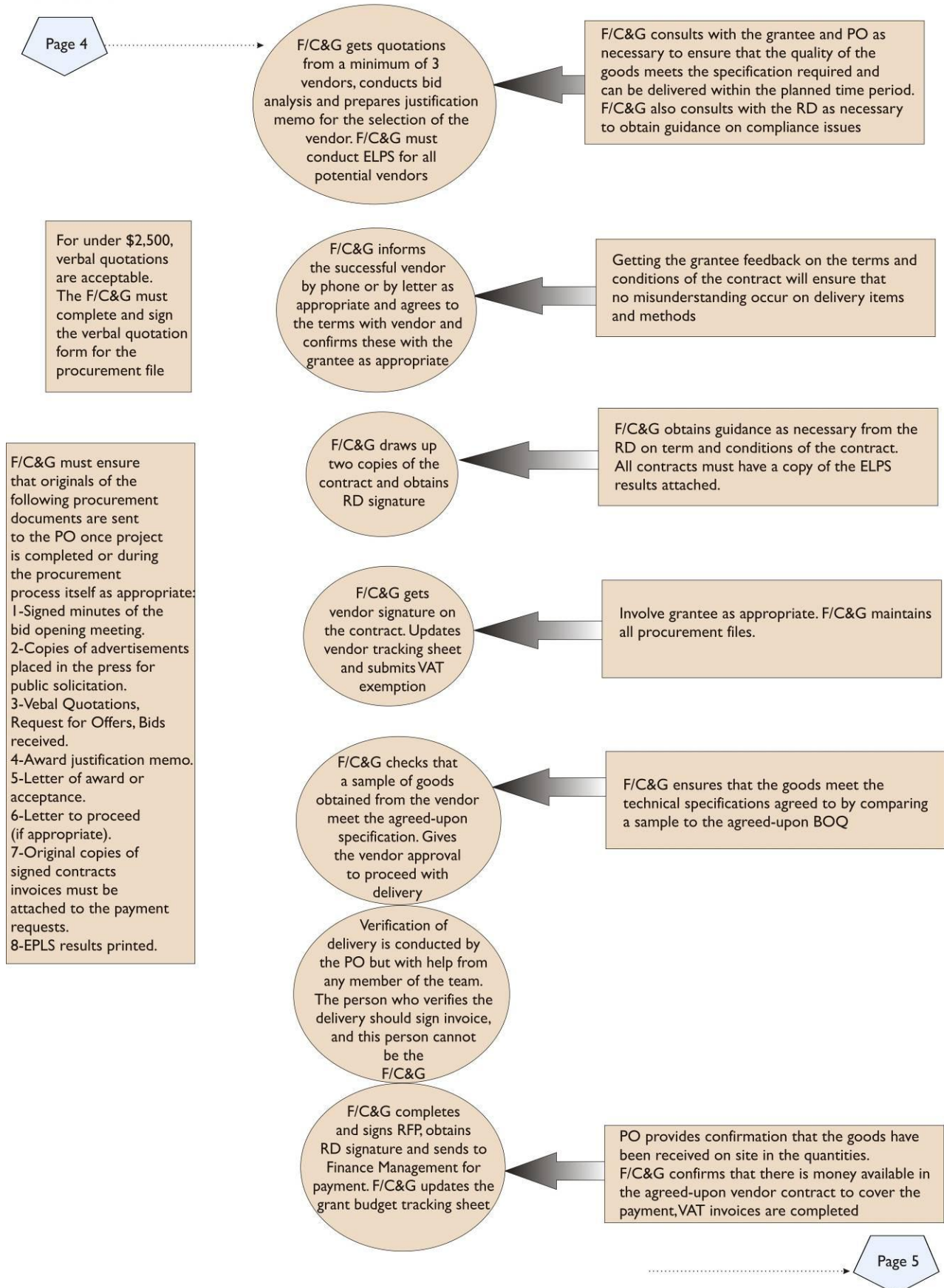
Yellow Light to Green Light



Grant Agreement Preparation



Procurement



F/C&G fills out the RFP based on certified delivery of goods/ services to the grantee

F/C&G is responsible for ensuring that there is sufficient money in the grant budget to cover all payments requested. F/C&G controls overall expenditure against each grant budget in close consultation with the PO. F/C&G prepares monthly financial projections for all grants in close consultation with the PO. F/C&G keeps budget tracking sheet. PO must verify delivery.

F/C&G submits the RFP certifying that payment requested is within the agreed to vendor contract ceiling. VAT invoices are attached

F/C&G ensures that all payments requested are within the agreed to vendor contract ceiling. F/C&G tracks multiple payment against vendor contracts using procurement tables to ensure that payments requested are within the contract ceiling. F/C&G provides detailed budget status to PO on request.

RD signs the RFP certifying the approval of the payment

COP/RD reviews payment request and accompanying documents and provides quality control and approval of all in-kind payments.

Finance Manager prepares checks

Finance Manager verifies that all supporting documents required are received and match each other. Finance Manager verifies that sufficient funds in the overall Grant Agreement budget to cover the payment. Finance Manager verifies that there are sufficient funds in the budget to cover the payment.

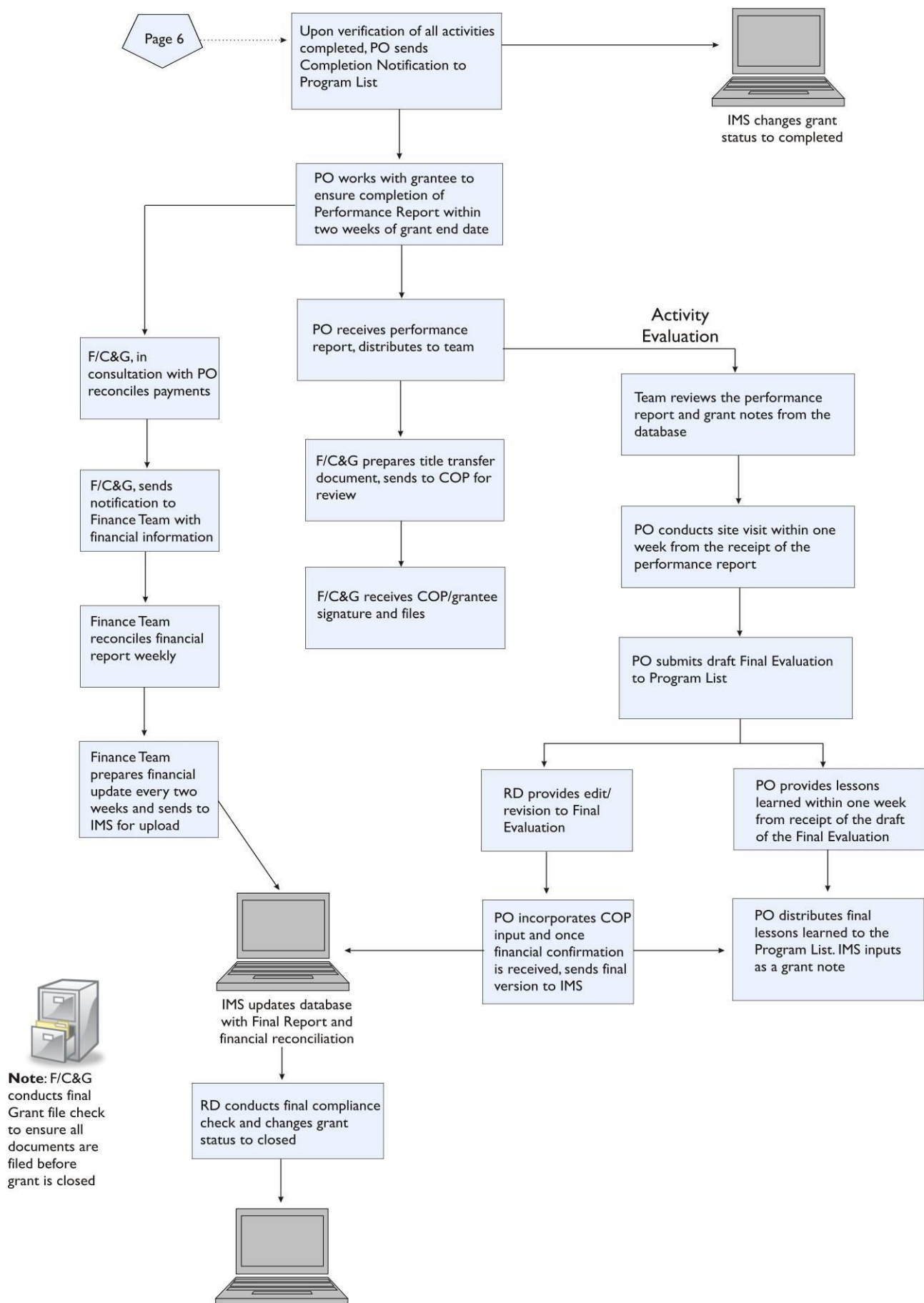
COP signs

Authorizes all payments.

Finance Manager disburses to F/C&G

Finance Manager makes payments. Updates Financial Tracking List with grant number, amount, date of payment, payee name. Every Thursday, circulates updated Financial link to IMS for database entry. Finance Manager maintains finance files.

Closeout and Evaluation



U.S. Agency for International Development
1300 Pennsylvania Avenue, NW
Washington, DC 20523
Tel: (202) 712-0000
Fax: (202) 216-3524
www.usaid.gov